

ASC (Aquaculture Stewardship Council) Farm Certification Audit Report

Certificate Holder: Maruha Nichiro Corporation

Scope of Assessment: Farm of Amami Yogyo Co., Ltd.

Certificate Code: ASC-AMITA-F-1006

Certificate issue date: 25 July 2019

Certificate expiry date: 24 July 2022

Form 3 – Public Disclosure Form

This form shall be submitted by the CAB no less than thirty (30) working days prior to any onsite audit. Any changes to this information shall be submitted to the ASC within five (5) days of the change and not later than 10 days before the planned audit. If later, a new announcement is submitted and another 30 days rule will apply.

The information on this form shall be public and should be posted on the ASC website within three (3) days of submission (except unannounced audits).

This form shall be written to be readable to the stakeholders and other interested parties.

This form should be translated into local languages when appropriate

PDF 1 Public Disclosure Form

PDF 1.1 Name of CAB

AMITA Corporation

PDF 1.2 Date of Submission

21st February 2019

PDF 1.3 CAB Contact Person

PDF 1.3.1 Name of Contact Person

Hitofumi Yamanoshita

PDF 1.3.2 Position in the CAB's organisation

Scheme manager

PDF 1.3.3 Mailing address

3-2-4 Kudankita, Chiyoda-ku, Tokyo,
102-0073 Japan

PDF 1.3.4 Email address

ninsho@amita-net.co.jp

PDF 1.3.5 Phone number

+81-6-7654-6882

PDF 1.3.6 Other

–

PDF 1.4 ASC Name of Client

PDF 1.4.1 Name of the Client

Maruha Nichiro Corporation

PDF 1.4.1.a Name of the unit of certification

Farm of Amami Yogyo Co., Ltd.

PDF 1.4.2 Name of Contact Person

Mr. Hiroki Ogawa

PDF 1.4.3 Position in the client's organisation

Chief

PDF 1.4.4 Mailing address

2-20 3-chome, Toyosu, Koto-ku
Tokyo, Japan

PDF 1.4.5 Email address

h-ogawa@maruha-nichiro.co.jp

PDF 1.4.6 Phone number

+81-3-6833-4350

PDF 1.4.7 Other

–

PDF 1.5 Unit of Certification

PDF 1.5.1 Single Site

x

PDF 1.5.2 Multi-site

PDF 1.5.2.a Ownership status

PDF 1.5.3 Group certification

PDF 1.6 Sites to be audited

Site Name	GPS Coordinates	List all species per site and indicate if they are in the scope of the standard	Ownership status (owned/ subcontracted)	Date of planned audit and type of audit (Initial, SA1, SA2, recertification, etc.)	Status (new, in production/ fallowing /in harvest)
Farm of Amami Yogyo Co., Ltd.	28° 10' 29 N, 129° 17' 18 E	Seriola dumerili, included	owned	Initial	in production

PDF 1.7 Species and Standards

Standard	Species (scientific name) produced	Included in scope (Yes/No)	ASC endorsed standard to be used	Version Number
Abalone				
Bivalve				
Freshwater Trout				
Pangasius				
Salmon				
Shrimp				
Talapia				
Seriola/Cobia	Seriola dumerili	Yes	Seriola and Cobia	1.1
Other				

PDF 1.8 Planned Stakeholder Consultation(s) and How Stakeholders can Become Involved

Name/organisation	Relevance for this audit	How to involve this stakeholder (in-person/phone interview/input submission)	When stakeholder may be contacted	How this stakeholder will be contacted
Names are closed due to privacy	Staff	in-person	12th Apr 2019	in-person
	Suppliers	in-person	12th Apr 2019	in-person
	Maintenance companies	in-person	12th Apr 2019	in-person
	Local people	in-person	12th Apr 2019	in-person
	Local governments	in-person	12th Apr 2019	in-person
	Researchers	in-person	12th Apr 2019	in-person

PDF 1.9 Proposed Timeline

PDF 1.9.1	Contract Signed:	1st March 2019
PDF 1.9.2	Start of audit:	11th April 2019
PDF 1.9.3	Onsite Audit(s):	11th and 12th April 2019
PDF 1.9.4	Determination/Decision:	2019

PDF 1.10 Audit Team

	Column1	Name	ASC Registration
PDF 1.10.1	Lead Auditor	Naoya Ogawa	
PDF 1.10.2	Technical Experts	Akihiro Dazai	
PDF 1.10.3	Social Auditor	Naoya Ogawa	

ASC Audit Report – Opening

General Requirements	
C1	Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located.
C2	Audit reports may contain confidential annexes for commercially sensitive information.
C2.1	The CAB shall agree the content of any commercially sensitive information with the applicant, which can still be accessible by the ASC and the appointed accreditation body upon request as stipulated in the certification contract.
C2.2	The public report shall contain a clear overview of the items which are in the confidential annexes.
C2.3	Except for the annexes that contain commercially sensitive information all audit reports will be public.
C3	The CAB is solely responsible for the content of all reports, including the content of any confidential annexes.
C4	Reporting Deadlines* for <u>certification and re-certification</u> audit reports
C4.1	Within thirty (30) days of the completing of the audit the CAB shall submit a draft report in English and the national or most common language spoken in the area where the operation is located.
C4.2	Within five (5) days the ASC should post the draft report to the ASC website.
C4.3	The CAB shall allow stakeholders and interested parties to comment on the report for fifteen (15) days.
C4.4	Within twenty (20) days of the close of comments, the CAB shall submit the final report to the ASC in English and the national or most common language spoken in the area where the operation is located.
C4.5	Within five (5) days the ASC should post the final report to the ASC website.
C4.6	Audit reports shall contain accurate and reproducible results.
C5	Reporting Deadlines* for <u>surveillance</u> audit reports
C5.1	Within ninety (90) days of the completing of the audit the CAB shall submit a final report in English and the national or most common language spoken in the area where the operation is located.
C5.2	Within five (5) days the ASC should post the final report to the ASC website.
C5.3	Audit reports shall contain accurate and reproducible results.

1 Title Page

1.1 Name of Applicant	Maruha Nichiro Corporation
1.2 Report Title [e.g. Public Certification Report]	Public Certification Report

1.3 CAB name	AMITA Corporation
1.4 Name of Lead Auditor	Naoya Ogawa
1.5 Names and positions of report authors and reviewers	Report author – Naoya Ogawa, AMITA Corporation Report reviewer – Hitofumi Yamanoshita, AMITA Corporation
1.6 Client’s Contact person: Name and Title	Mr. Hiroki Ogawa
1.7 Date	11th and 12th April 2019

2 Table of Contents

I. Audit Report – Opening
II. Audit template – Seriola and Cobia
Summary of findings – Seriola and Cobia
III. Audit Report – Traceability
IV. Audit Report – Closing

3 Glossary

Terms and abbreviations that are specific to this audit report and that are not otherwise defined in the ASC glossary

None

4 Summary

A concise summary of the report and findings. The summary shall be written to be readable to the stakeholders and other interested parties.

4.1	A brief description of the scope of the audit	<p>The scope of the audit covers following subsidiary companies of Maruha Nichiro Corporation.</p> <p>– <i>Seriola quinqueradiata</i> and <i>Seriola dumerili</i> farm of Amami Yogyo Co., Ltd located in Setouchi-cho, Oshima-gun, Kagoshima.</p> <p>Included activities are receiving fingerlings, grow-out, harvesting and transportation to processing facilities.</p>											
4.2	A brief description of the operations of the unit of certification	<p>The farms are operated by Amami Yogyo under supervision of Maruha Nichiro.</p> <p>Amami Yogyo was established in 1977. It farms 20,000 Tuna and 200,000 <i>Seriola dumerili</i> fishes. The minimum water temperature in winter in this region is relatively high at above 20 degrees celsius, With the sufficient tidal current, the water quality in this area is suitable for aquaculture.</p> <p>Farmed <i>Seriola dumerili</i> are transported to processing facilities of other group companies of Maruha Nichiro to be processed. This certification covers up until the shipment of farmed fishes.</p>											
4.3	Type of unit of certification (select only one type of unit of certification in the list)	Single farm											
4.4	Type of audit (select all the types of audit that apply in the list)	Initial											
4.4.1	Number of sites included in the unit of certification	<table border="1"> <thead> <tr> <th>Owned by client</th> <th>Subcontracted by client</th> </tr> </thead> <tbody> <tr> <td>Initial audit – 04/2019</td> <td>1</td> </tr> <tr> <td>Surveillance audit 1 – mm/ yyyy</td> <td>0</td> </tr> <tr> <td>Surveillance audit 2 – mm/ yyyy</td> <td></td> </tr> <tr> <td>Recertification audit – mm/ yyyy</td> <td></td> </tr> </tbody> </table>		Owned by client	Subcontracted by client	Initial audit – 04/2019	1	Surveillance audit 1 – mm/ yyyy	0	Surveillance audit 2 – mm/ yyyy		Recertification audit – mm/ yyyy	
Owned by client	Subcontracted by client												
Initial audit – 04/2019	1												
Surveillance audit 1 – mm/ yyyy	0												
Surveillance audit 2 – mm/ yyyy													
Recertification audit – mm/ yyyy													
4.5	A summary of the major findings	<p>There was no Major noncompliance found during the audit. 2 Minor non-compliances and 2 Observations were issued.</p>											

4.6 The Audit determination

Maruha Nichiro Corporation is granted for the ASC Seriola and Cobia certification for Seriola dumerili.

5 CAB Contact Information

5.1 CAB Name

AMITA Corporation

5.2 CAB Mailing Address

3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan

5.3 Email Address

ninsho@amita-net.co.jp

5.4 Other Contact Information

Tel: +81-3-5215-8326

6 Background on the Applicant

6.1 Information on the Public Disclosure Form (Form 3) except 1.2-1.3 All information updated as necessary to reflect the audit as conducted.

See Public Disclosure Form

6.2 A description of the unit of certification (*for initial audit*)/ changes, if any (*for surveillance and recertification audits*)

The farms are operated by Amami Yogyo under supervision of Maruha Nichiro. Amami Yogyo was established in 1977. It farms 20,000 Tuna and 200,000 Seriola dumerili fishes. The minimum water temperature in winter in this region is relatively high at above 20 degrees celsius. With the sufficient tidal current, the water quality in this area is suitable for aquaculture. Harvest size is about 4 kg. Farmed Seriola dumerili are transported to processing facilities of other group companies of Maruha Nichiro to be processed. This certification covers up until the shipment of farmed fishes.

6.3	Other certifications currently held by the unit of certification	None
6.4	Other certification(s) obtained before this audit	None
6.5	Estimated annual production volumes of the unit of certification of the <u>current</u> year	Expected shipping quantity: 23.2t (5,800 fish, 4kg/tail) ✕ About 6,425 fish at the end of March 2019
6.6	<u>Actual</u> annual production volumes of the unit of certification of the <u>previous</u> year (mandatory for surveillance and recertification audits)	N/A
6.7	Production system(s) employed within the unit of certification (select one or more in the list)	cage
6.8	Number of employees working at the unit of certification	40 (37 males and 3 females).
6.9	Size, and/or number of ponds, pens (if multi site, per site)	1 cases for adult fish (target certified species)

7 Scope

7.1	The Standard(s) against which the audit was conducted, including version number	ASC Seriola and Cobia Standard Version 1.1 March 2019
7.2	The species produced at the applicant farm	Seriola dumerili

<p>7.3 A description of the scope of the audit including a description of whether the unit of certification covers all production or harvest areas (i.e. ponds) managed by the operation or located at the included sites, or whether only a sub-set of these are included in the unit of certification. If only a sub-set of production or harvest areas are included in the unit of certification these shall be clearly named.</p>	<p>Scope of the audit is <i>Seriola dumerili</i> farm operated by Amami Yogyo located in Oshima Sea in Setonai-cho of Amami Oshima Islands, Kagoshima Prefecture.</p> <p>Amami Yogyo has 60 cages of 10 m X 10 m. Within these cages, those used for farming artificially hatched stocks of <i>Seriola dumerili</i> are included in the ASC scope. There are cages for farming natural stocks of <i>Seriola dumerili</i> in order to enhance production capacity. These are not included in the scope of ASC.</p> <p>The cages are identified by a unique number, production records are made for each cage, and harvesting is done in cage units, so fish in each cage are not mixed. Therefore, the ASC cage is always identified and will not mix with non-ASC fish.</p>
<p>7.4 The names and addresses of any storage, processing, or distribution sites included in the operation (including subcontracted operations) that will potentially be handling certified products, up until the point where product enters further chain of custody.</p>	<p>None</p>
<p>7.5 Description of the receiving water body(ies).</p>	<p>Scope of the audit is <i>Seriola dumerili</i> farm operated by Amami Yogyo located in Oshima Sea in Setonai-cho of Amami Oshima Islands, Kagoshima Prefecture.</p>

8 Audit Plan

<p>8.1 The names of the auditors and the dates when each of the following were undertaken or completed: conducting the audit, writing of the report, reviewing the report, and taking the certification decision.</p>	<p>Naoya Ogawa – Lead auditor Akihiro Dazai – Technical Expert Chiko Tsukazaki – auditors-in-training</p> <p>Conducting the Audit – 11th and 12th April 2019 Writing of the report – 1st June 2019 Reviewing the report – 3rd June 2019</p>
--	---

8.2 Previous Audits (if applicable):

NC
reference
number Standard clause
reference Closing deadline – status – closing date of each NC

8.2.1	Initial audit – 04/2019		
	Surveillance audit 1 – mm/ yyyy		
	Surveillance audit 2 – mm/ yyyy		
	Recertification audit – mm/ yyyy		
	Unannounced audit – mm/ yyyy		
	NC close-out audit – mm/ yyyyy		
	Scope extension audit mm/ yyyy		

8.4 Audit plan as implemented including:

	Dates	Locations
8.4.1 Desk Reviews	2019	–
8.4.2 Onsite audits	11th, 12th April 2019	Setonai-cho, Oshima-gun, Kagoshima
8.4.3 Stakeholder interviews and Community meetings	11th, 12th April 2019	Setonai-cho, Oshima-gun, Kagoshima
8.4.4 Draft report sent to client	4th June 2019	–
8.4.5 Draft report sent to ASC	24th June 2019	–
8.5.5 Final report sent to Client and ASC	24th July 2019	–

8.5 Names and affiliations of individuals consulted or otherwise involved in the audit including: representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit.

Amami Yogyo Co., Ltd:
 Mr. Takayuki Araki, President
 Ms. Ruriko Haito
 Mr. Hiroya Okano, Production Manager
 Ms. Miki Kane

Maruha Nichiro Corporation
 Mr. Hiroki Ogawa

Mr. Sadao Yokoyama, a representative of a board of directors of Setouchi Marine Biological Research Institute.
 Mr. Tetsuo Ueda, Councilor of Setouchi fisheries cooperative association.
 Mr. Shozaburo Mori, ward mayor of Kunezu ward.

8.8 Stakeholder submissions, including written or other documented information and CAB written responses to each submission.

Name of stakeholder (if permission given to make name public)	Relevance to be contacted	Date of contact	CAB responded Yes/No	Brief summary of points Raised	Use of comment by CAB	Response sent to stakeholder
Name of	Local people	2019/3/18	No	No negative comment	Yes	None
Name of	Workers	2019/3/18	No	No negative comment	Yes	None
Name of	Municipalities	2019/3/18	No	No negative comment	Yes	None
ASC Quality	ASC	2019/6/24	Yes	Clarifications of report details	Yes	Yes

AUDIT MANUAL - ASC SERIOLA/COBIA STANDARD					
Created by the Seriola/Cobia Aquaculture Dialogue (SAD)					
Scope: Seriola quinqueradiata, Seriola dumerili, Seriola rivoliana, Seriola lalandi and cobia Rachycentron canadum					
PRINCIPLE 1: COMPLY WITH ALL APPLICABLE INTERNATIONAL, NATIONAL AND LOCAL LAWS AND REGULATIONS					
1.1. Criteria: All applicable legal requirements and regulations where farming operation is located					
	Compliance Criteria (Use as guidance for audit only)	Audit evidence	Evaluation (Per indicator, select one category in the drop-down menu)	Description of NC Provide an explanation of the reason(s) for the classification of any NCs or non-applicability	Value/ Metric Provide values – if applicable for the respective Indicator
1.1.1	<p>Indicator: Documents demonstrating compliance with all relevant local and national laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain digital or hard copies of applicable land and water use laws. Provide the audit team with a summary of applicable laws and permit requirements along with contact details for relevant staff.</p> <p>b. Maintain original (or certified copies of) lease agreements, land titles and concession permit(s) on file as applicable.</p> <p>c. Keep records of inspections for compliance with national and local laws and regulations (only if such inspections are legally required in the country of operation).</p> <p>d. Others, please describe</p>	<p>A list named “Laws and Regulations related to aquaculture” has been developed. Reference info such as URL to download the documents and contact details are included. Laws and regulations such as Fishery Act, Act on the Protection of Fishery Resources, Marine Resources Development Promotion Act, Sustainable Aquaculture Production Assurance Act, The Law on Securing Quality, Efficacy and Safety of Products Including Pharmaceuticals and Medical devices, Natural Parks Law and Prefectural Parks Regulations are included.</p> <p>License under a demarcated fishery right is in place, Unit number 30, which was renewed for another 5 year period starting from 1st September 2018. This license covers areas for farming fishes other than tuna. Geographical coordinates are specified. The farm is also identifiable on a Specified Farming License Map. There is also a Fishery rights communication chart developed by Setouchi fisheries cooperative association. 225 cages of 8m x 8m are allowed to settle at a maximum, but 60 cages of 10m x 10m are used in practice.</p> <p>The lands where on-land facilities are located are owned by 3 people. The company has a lease contract of the lands. The contracts were renewed in March 2017 and are valid for 10 years.</p> <p>There was an fishery right management committee of Kagoshima Prefecture held on 25th August 2017. Committee members visited the farm and no issue was identified. Hence the fishery right has been confirmed to be valid. There was no farm visit for updating the fishery rights.</p>	Compliant	
1.1.2	<p>Indicator: Documents demonstrating compliance with all tax laws.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide a certificate of tax clearance or tax law conformity from local Revenue authority;</p> <p>OR</p> <p>Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax). Note that CABs will not disclose confidential tax information unless client is required to or chooses to make it public.</p> <p>b. Demonstrate that the farm ensures compliance with tax laws appropriate to its size and scale. Large-scale producers should for instance use the services of a qualified and knowledgeable tax professional such as a chartered Public Accountant to manage overall compliance with taxation law. Small-scale producers should show tax receipts.</p> <p>c. If tax is paid by a parent company legally then the farm should present information to this effect.</p> <p>d. Others, please describe</p>	<p>Within the parent company, Maruha Nichiro Corporation, fishery and aquaculture business is managed under Fishery and Aquaculture Unit, Aquaculture division. KPMG AZSA LLC audits Maruha Nichiro and annual security report is issued. Audit team confirmed tax payment certificate on 19th Nov. 2018. It proves that all necessary tax is indeed paid. Consolidated corporate tax payment record was confirmed.</p> <p>Receipt of payment of Withholding income tax, Fixed Asset Tax, Consolidated corporate tax, Corporate tax, VAT etc are kept. Evidences of most recent business year were confirmed.</p> <p>Person in charge of accounting of the company is communicating with accounting department of Maruha Nichiro on daily basis. Maruha Nichiro's each department conducts internal audit to the company. Records of internal audits conducted during 11th to 14th Apr 2017 to Audit Dept and Management Planning Dept, during 12th to 13th Sep 2017 to Accounting dept were confirmed. On 8th Nov 2017, there was an internal audit conducted by thier own corporate auditor.</p>	Compliant	

1.1.3	Indicator: Documents demonstrating compliance with all labor laws and regulations. Requirement: Yes. Applicability: All.	<p>a. Demonstrate how the farm conforms with the requirements of national and regional/local labor codes and employment law.</p> <p>b. Keep records of farm inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of operation).</p> <p>c. Others, please describe</p>	<p>Under supervision of Maruha Nichiro, almost common employment regulation is developed and implemented by each subsidiary company.</p> <p>Staff employment regulation according to the Labour Standard Act was enacted April 2017, and updated on 7th September 2018, and approved by Naze Labour Standard Office on the updated day. There is an agreement dated the same day signed by the representative of workers. In addition, employment regulation for reemployment after retiring age was established in April 2017, contract employees and part-time employees employment regulation was enacted in April 2018. These were submitted and accepted by Naze Labor Standard Office on 28th March 2018.</p> <p>There are records of inspections by the labour standard office in response to occurrence of accidents. Diary records an inspection on 6th August 2015 for boat collision accident and an inspection on 10th Dec 2012 for cut wound in the head caused by circular saw. There have been no accidents since then, so no inspections.</p> <p>The Labor Standards Act and other labor-related laws have been revised since 1st April 2019 as working-style reform related laws. The contents are grasped and being addressed.</p>	Compliant		
1.1.4	Indicator: Documents demonstrating compliance with regulations and permits concerning water quality impacts. Requirement: Yes. Applicability: All.	<p>a. Obtain permits for discharge water where applicable.</p> <p>b. Maintain records of monitoring and compliance with discharge laws and/or regulations as required.</p> <p>c. Maintain records of monitoring and compliance with waste and pollution laws/regulations.</p> <p>d. Others, please describe</p>	<p>Water Pollution Prevention Act has discharge water criteria that are applied to organizations with more than 50 m³/day of water discharge. However, the company does not have a processing facility so that the water discharge of the company is only about 4 to 5 m³ per day. Hence the criteria do not apply.</p> <p>Industrial waste collection and transportation basic contract, Industrial waste treatment outsourcing basic contract etc are signed with the total of 10 transporting companies and industrial waste treatment companies. Manifests used for each treatment is kept. The recent records were confirmed.</p> <p>Simple check sheet in relation to Act on Rational Use and Proper Management of Fluorocarbons is in place. The check is conducted once a quarter.</p> <p>These were checked during the internal audit of Maruha Nichiro too.</p>	Compliant		

PRINCIPLE 2: CONSERVE NATURAL HABITAT, LOCAL BIODIVERSITY AND ECOSYSTEM STRUCTURE AND FUNCTION

Criterion 2.1 Benthic biodiversity and benthic effects

2.1.1	<p>Indicator: TOC , sulphide, or redox levels in sediment immediately outside of Allowable Zone Effect (AZE)(1) attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in TOC, sulphide, or redox levels in sediment at the edge of the AZE in comparison to the control site..</p> <p>Applicability: All farms except as noted in footnote 1. For farms that have yet to define an AZE, within 3 years from the publication of the Seriola and Cobia standards.</p>	<p>a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.</p> <p>OR (for farms that have yet to define an AZE and for up to 3 years from the publication of the Seriola and Cobia standards):</p> <p>Prepare a map of the farm showing GPS locations of all sediment-sampling stations.</p> <p>b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a–g, and 2.1.2.</p> <p>c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</p> <p>d. Collect sediment samples using an appropriate methodology and sampling regime, following the guidance in the Seriola and Cobia Standards (i.e. at the time of peak cage biomass and at all required stations).</p> <p>e. For option #1, measure and record redox potential (mV) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>f. For option #2, measure and record sulphide concentration (uM) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>g. For option #3, measure and record Total Organic Carbon (e.g. % by weight) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>h. Others, please describe</p>	<p>Ropes indicating the outer edges of the farm are attached with floats to define immediately outside the AZE. A control site is established at 1.1 km away. The control site shares the similar characteristics with the farm in terms of current flow and depth. Each plot's GPS coordinates are clear. Base sediments are sand and silt. Option 1, measuring and recording redox potential method was chosen. Measurements are made every month since April 2017 . Maximum biomass was found during July 2017. Results of July were 250 in test plot and 258 in control plot. Results gained so far were compared using t test and analysis of variance. No significant difference was found. Measurement was made again on three samples on 14th June 2018, and the result was 264 in test plot, and 268 in control plot. It was confirmed that there was no significant difference in t-test. Since the maximum biomass was found in June or July in the 2015–2017 results, the measurement was conducted in June 2018. Audit team confirmed that measurement method was in accordance with the ASC procedures.</p>	Compliant		
-------	---	--	---	-----------	--	--

2.1.2	<p>Indicator: Abundance of harmful (invasive or noxious) macrofauna immediately outside of AZE attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in harmful macrofauna at the edge of the AZE in comparison to the control site.</p> <p>Applicability: All farms except as noted in footnote 1. For farms that have yet to define an AZE, within 3 years from the publication of the Seriola and Cobia standards.</p>	<p>a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.</p> <p>OR (for farms that have yet to define an AZE and for up to 3 years from the publication of the Seriola and Cobia standards):</p> <p>Prepare a map of the farm showing GPS locations of all sediment-sampling stations.</p> <p>b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a-g, and 2.1.2.</p> <p>c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</p> <p>d. Analyze epifaunal and infaunal components of sediment samples including identification to species level and enumeration of all species, for all sampling stations.</p> <p>e. Estimate proportions of all faunal species present in sediments immediately outside the AZE and at an un-impacted control site far removed from the farm and test for significance in difference (95% C.I.) in presence of opportunistic species and species that are considered to be indicators of benthic enrichment or harm.</p> <p>f. Others, please describe</p>	<p>Samples were taken from the same plots specified in 2.1.1.</p> <p>The plan is to conduct the test in July every year when the biomass level becomes maximum.</p> <p>Samples were collected three times at both test plot and control plot on 23rd August 2017. Three samples were again collected and analyzed at each plot on 14th June 2018. The company outsourced analysis of the samples to an external specialized agency Idea Co, Ltd to identify species.</p> <p>Opportunistic species and species that are considered to be indicators of benthic enrichment or harm were only identified at very low level at both plots in 2017 and 2018 tests. No statistically significant difference was confirmed.</p>	Compliant		
Criterion 2.2 Water quality in and near the site of operation						
2.2.1	<p>Indicator: Turbidity levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in turbidity levels in the water column at the edge of the AZE in comparison to the control site.</p> <p>Applicability: All.</p>	<p>a. Devise appropriate and detailed turbidity monitoring procedure with detailed maps of sampling points and detailed methodology.</p> <p>b. Measure and record turbidity initially on a monthly basis at the edge of the Allowable Zone of Effect and at an un-impacted control site far removed from the farm.</p> <p>c. Conduct analysis of turbidity data for statistically significant difference (95% C.I.) between turbidity at the edge of the AZE and at one or more control sites far removed from any potential farm influence.</p> <p>d. Provide results of statistical analysis for initial 12 month turbidity monitoring</p> <p>e. Implement annual turbidity monitoring procedure.</p> <p>f. Others, please describe</p>	<p>"A method for measuring clarity" has been developed. A Secchi disk is used to measure. Since several decades ago, the company is using the Secchi disk to measure turbidity in the farm every day.</p> <p>Monthly measurement at control plot started in April 2017.</p> <p>Results gained so far were compared using t test and analysis of variance. No significant difference was found.</p>	Compliant		

2.2.2	<p>Indicator: Ammonia levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in ammonia levels in the water column at the edge of the AZE in comparison to the control site.</p> <p>Applicability: All.</p>	<p>a. Devise appropriate and detailed ammonia monitoring procedure with detailed maps of sampling points and methodology. The monitoring action must be appropriate for size and scale of the impact and if the farm can prove low impact over a year then don't have to monitor so frequently afterwards.</p> <p>b. Measure and record ammonia initially on a monthly basis at the edge of the Allowable Zone of Effect and at an un-impacted reference (control) site far removed from the influence of a farm.</p> <p>c. Conduct analysis of ammonia data for statistically significant difference (95% C.I.) between ammonia levels at the edge of the AZE and at one or more control sites far removed from any potential farm influence.</p> <p>d. Provide results of statistical analysis for initial 12 month ammonia monitoring.</p> <p>e. Implement annual ammonia monitoring procedure.</p> <p>f. Others, please describe</p>	<p>"A procedure for measuring ammonia level" has been developed. The very first test was outsourced to an external specialized organization Kagoshima-kankyo corporation Co.,Ltd. Ammonia levels in both test plot and control plot was too low to be detected (less than 0.1mg/L). After this test, the company is using a simplified water quality inspection kit (named Pack test) every month. So far ammonia levels in both plots are too low to be detected (less than 0.2mg/L). Hence no significant difference identified.</p> <p>The company continues using the Pack test every month to measure the ammonia level. The company is outsourcing more detailed test to the specialized organization once a year in April. Test was outsourced and analyzed on 14th May 2018, but it was below the detection limit.</p>	Compliant		
<i>Criterion 2.3 Interaction with critical or sensitive habitats and species</i>						
2.3.1	<p>Indicator: Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum: a) identification of proximity to critical, sensitive or protected habitats and species, b) description of the potential impacts the farm might have on biodiversity, with a focus on affected habitats or species, and c) a description of strategies and current and future programs underway to eliminate or minimize any identified impacts the farm might have.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Collect documentation that allows an interpretation of the farms location in the context of biodiversity and ecosystems that may be at risk from under assessment farm related impacts. The monitoring action must be appropriate for size and scale of the potential impact of the farm and if the farm can prove low impact over a year then don't have to monitor so frequently afterwards.</p> <p>b. Complete a detailed risk assessment for potential impacts of the farm on critical, sensitive and protected habitats and species. Demonstrate how the farm has strategies and programmes in place that are designed to minimise or eliminate negative impacts on species and habitats.</p> <p>c. Collect independent evidence that confirms the level of interaction and/or impact of the farm on critical, sensitive or protected habitats and species. Evidence can include stakeholder submission.</p> <p>d. Others, please describe</p>	<p>A sales company of fisheries medicines voluntarily implement annual seabed investigation to check sulphide concentration. The results show low levels. The latest investigation took place on 14th November 2018, and the result was an average of 0.06 mg/g. Setouchi fisheries cooperative association is also conducting bed sediment test in the farm. Coral reefs can be found in surrounding areas of the farm. But the farm itself is located in areas of 15-46m deep and so not above coral reefs. A consultation to a local diver who is an wildlife expert confirmed that no impact on coral reef is seen, The farming is taking place since 1977.</p> <p>Reddata book of Kagoshima Prefecture has been prepared and CR and EN species were listed up. Interview with the company employees and two local diving instructors revealed that Sternula albifrons is found to come migrating in April every year. Chair person of Amami Wild Bird Association was consulted and it was confirmed that there is no breeding record near the farm and so the risk of this bird getting caught in the net is low. Eretmochelys imbricata is observed once or twice a year at offshore. The diving instructors confirmed that rafts are clearly visible so that there is no risk of them colliding. They feed in the coral reefs which is not around the farm. Egg-laying sites are not near the farm so the farm does not have any impact.</p> <p>Reddata list of Ministry of the Environment identifies Euphyllia paraglabrescens, but its distribution does not overlap with the farm.</p> <p>Rhacichthys aspro can be the case in fish, but as a result of interviews with local officials, none has been confirmed case around the farm.</p> <p>The above results are summarized in a document as risk assessment results. It concluded that there is little risk of affecting critical species or sensitive habitats.</p> <p>However, during the examination, it was confirmed that there are multiple wild cats around the Amami Yogyo facility. There are many endemic species such as Amami no Kurousagi (Pentalagus furnessi) in the forest of Amami Oshima, but predation by wild cats has become a problem. Although the farm does not have direct affection, it is desirable to evaluate whether the impact of the wild cat on the forest ecosystem can be mitigated by positively managing the wild cat around the facility, such as contraception.</p>	Minor	<p>The farm should evaluate whether or not the impact of the wild cat on the forest ecosystem can be mitigated by positively managing the wild cat in the vicinity of the facility, etc., and implement measures to reduce the impact.</p> <p>The farm did not evaluate the impact on all ecosystems including the terrestrial ecosystem, it shall be minor conditions.</p>	

2.3.2	Indicator: Allowance for the farm to be sited in a legally designated protected area . Requirement: None (see note above). Applicability: All.	a. Provide a map showing the location of the farm relative to nearby legally protected areas (see footnote 4).	On 7th March 2017, the are was designated as Amamigunto National Park. Sea area was designated as Ordinary Zone. Land area where their office is located was designated as Secondary Special Zone. There is no restriction to fishery/farming, so it does not fit in the "protected area" defined by ASC Consultation to Setouchi fisheries cooperative association confirmed with written evidence that the farm has never influenced the area negatively or caused any conflict since the launch in 1977.	Compliant		
		b. If the farm is sited in a legally protected area, review the scope of applicability of Indicator 2.3.2a. (see Instructions above) to determine if the farm is allowed an exception to the requirements. If yes, inform the CAB and provide supporting evidence.				
		c. Demonstrate that the farm does not conflict with or interfere with the operation or integrity of designated parks, limited use protected areas or national preservation areas.				
		d. Others, please describe				
		<i>Criterion 2.4 Interaction with wildlife, including predators</i>				
2.4.1	Indicator: Acoustic deterrent devices allowed. Requirement: None. Applicability: All.	a. Prepare a written statement affirming that the farm's management is committed to not using acoustic deterrent devices (ADDs) or acoustic harassment devices (AHDs) for control of marine pests and/or predators.	AHD/ADDs are not used. A declaration to avoid using AHD/ADDs was developed on 26th February 2016. The declaration was renewed on 20th July 2018 with the change of the president. Interview with employees and local community also confirmed that no such devices have been use by the company. Such devices were not observed during sit visit.	Compliant		
		b. Compile documentary evidence to show that no ADDs or AHDs are used on the farm (e.g. predator and pest control procedure and evidence of implementation).				
		d. Others, please describe				
		<i>Criterion 2.4 Interaction with wildlife, including predators</i>				
2.4.2	Indicator: Number of mortalities of endangered or red-listed animals in the farm lease area and adjacent areas due to farm operations or personnel or associates. Requirement: 0. Applicability: All.	a. Provide a list of endangered and red-listed animals occurring in the farm lease area and surrounding areas.	No endangered species has been observed and there are no mortalities in the farm so far. In case if they find any endangered species, there is a declaration to avoid lethal control of such species dated 1st April 2016. The declaration was renewed on 20th July 2018 with the change of the president. If there is a fatal accident, a record is kept.	Compliant		
		b. Produce a documented record of the farm's impact on biodiversity and nearby ecosystems. Detail species/habitats, spatial/temporal aspects, type of interaction and outcome.				
		c. Establish list of predators and pests requiring control. Identify clearly the permitted mitigation/control procedures and records that must be kept.				
		d. Record all mortalities, species and time of the event.				
		e. Others, please describe				

2.4.3	Indicator: Evidence that the following steps were taken prior to lethal action against a (non- endangered or non red-listed) predator: 1. All other avenues were pursued prior to using lethal action. 2. Approval was given from a senior manager above the farm manager. Requirement: Yes, unless human safety is immediately threatened.	a. Provide a company document that sets out the procedure that must be followed prior to lethal resolution of a predator. b. Maintain a log of predator control events that allows for verification of adherence to company procedures regarding predator control. d. Others, please describe	Sharks are observed sometimes. Cages are made of metal, so that they do not break. Therefore there is no need to take any measures. A declaration dated 1st April 2016 is in place to avoid lethal control of any predators as long as workers' safety and farmed fish's lives are ensured. In the declaration there is a procedure to follow in case the lethal control is necessary. No lethal control is taking place. The declaration was renewed on 20th July 2018 with the change of the president.	Compliant		
2.4.4	Indicator: Evidence that information about any lethal incident on the farm has been: 1. Reported to the appropriate government oversight agency. 2. Made easily publicly accessible. Requirement: Yes Applicability: All	a. Demonstrate that details on lethal predator management events have been transmitted to appropriate/most relevant government oversight agency. b. Demonstrate that details on lethal predator management events are made available to the public. c. Others, please describe	In Setouchi Town, there are cases where crows are removed under pest management program. There is a system to request such pest management but Amami Yogyo has never requested any.	Compliant		
2.4.5	Indicator: Maximum number of lethal incidents on farm over the prior two years. Requirement: For birds: 4 lethal incidents. For sharks: 2 lethal incidents. For marine mammals: 1 lethal incident. Applicability: All.	a. Maintain log of lethal incidents for a minimum of two years. For first audit, > 6 months of data are required. b. Calculate the total number of lethal incidents involving different species or groups of species (e.g. sharks, birds, marine mammals) during the previous two-year period. c. If the farm can demonstrate valid publicly available research that whatever is killed is hindering the recovery of any population then it may be exempt from the set requirement number in this indicator. d. Others, please describe	"A list of lethal incidents of wildlife" has been in use since 1st April 2016. There has been no incident recorded so far.	Compliant		
2.4.6	Indicator: In the event of any lethal incident, evidence that an assessment of the probability of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences. Requirement: Yes. Applicability: All.	a. Carry out documented review of lethal incidents and revise risk assessment and procedures (see 2.3.1) if necessary / as appropriate. b. Demonstrate through revision of procedures that management of predators is continually being reviewed with a view to eliminating the need for lethal management. c. Others, please describe	No record of lethal incident of wildlife. Interview with employees and local community also confirmed that the company does not take any lethal measures.	Compliant		

PRINCIPLE 3: PROTECT THE HEALTH AND GENETIC INTEGRITY OF WILD POPULATIONS						
Criterion 3.1 Culture of non-native species						
3.1.1	<p>Indicator: Culture of a non-native species.</p> <p>Requirement: None, unless commercial farming of the species already occurs in the region at time of the first publication of the SCAD standards, or a closed land-based production system with minimal risk of escapes and/or pest and pathogen transfer to wild populations is used.</p> <p>Applicability: All.</p>	<p>a. Confirm to the CAB that the farm produces only native species OR.</p> <p>b. If non-native species, provide verifiable evidence that the species was being legally cultured commercially in the country and/or region/state prior to the publishing of the seriola and cobia standard in 2015 OR</p> <p>c. If the farm cannot provide evidence for 3.1.1b, provide documented evidence that the production system is closed to the natural environment and for each of the following: 1) non-native species are separated from wild fish by effective physical barriers that are in place and well maintained; 2) barriers ensure there are no escapes of reared fish specimens that might survive and subsequently reproduce; and 3) barriers ensure there are no escapes of biological material that might survive and subsequently reproduce (e.g. UV or other effective treatment) by treating effluent water prior to it exiting the system to the natural environment.</p> <p>d. Others, please describe</p>	<p>Seriola dumerili is a native species. It is clear from the distribution map and pictorial book.</p>	Compliant		
Criterion 3.2 Introduction of transgenic species						
3.2.1	<p>Indicator: Culture of transgenic fish by the farm.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Prepare a declaration stating that the farm does not use transgenic stock.</p> <p>b. Maintain records for the origin of all cultured stocks including stocking date, supplier details, and contact person(s) for stock purchases.</p> <p>c. Ensure stock purchase/origin documentation clearly identifies genetic status and whether stock is transgenic or not.</p> <p>d. Others, please describe</p>	<p>Shinokawa Branch of the company has a hatching station. It has signed a declaration dated 2nd March 2016 for not using transgenic stocks of Seriola dumerili. It was renewed on 20th July 2018. The company has obtained a declaration dated 29th March 2016 from a supplier of artificial stocks that mentioning that they do not use transgenic stocks. Regarding the artificial stocks of Seriola dumerili, there is a "Stock History Certificate" dated 2nd June 2016 and 31st January 2019 issued by the supplier. It proves that the supplier collects eggs at the hatching station and hatched artificially. In 2017, there was no such artificial stocks available so that the company has not purchased any stock. Bill from the supplier indicating that 6795 tails were purchased on 4th July 2018 was confirmed. Stock inventory shows that last introduction of stocks into the cages was on 2nd June 2016 and 7th July 2018.</p>	Compliant		

Criterion 3.3 Escapes						
3.3.1	<p>Indicator: For all fish, the operation must have an established plan related to escape management, and adhere to rigorous maintenance procedures and frequent net inspections.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Prepare a Stock Escape Prevention and Management Plan that includes a detailed farm operations risk assessment and submit it to the CAB prior to the first audit. The plan should explicitly detail what maintenance procedures are critical and important in the context of avoiding escapes, including but not limited to farm equipment maintenance and frequency of net inspections.</p> <p>b. If the farm operates an open net pen system, ensure the plan (3.3.1a):</p> <ul style="list-style-type: none"> -clearly identifies the important and critical issues in the context of minimizing escape events; and -sets out clear procedures for ensuring: <ul style="list-style-type: none"> • net strength testing; • use of appropriate net mesh size; • net traceability; • system robustness; • predator management; • record keeping; • reporting risk events (e.g. holes, infrastructure issues, handling errors); • staff training to cover all of the above areas; and • staff training on escape prevention and counting technologies. <p>c. If the farm operates a closed system, ensure the plan (3.3.1a):</p> <ul style="list-style-type: none"> -clearly identifies the important and critical issues in the context of minimizing escape events; and -sets out clear procedures for ensuring: <ul style="list-style-type: none"> • system robustness; • predator management; • record keeping; • reporting risk events (e.g. holes, infrastructure issues, handling errors); • staff training to cover all of the above areas; and • staff training on escape prevention and counting technologies. <p>d. Maintain records as specified in the plan.</p> <p>e. Train staff on escape prevention planning and management as per the farm's plan.</p> <p>g. Others, please describe</p>	<p>Anticipated risks are aging of devices, typhoon, tugging of cages, human intentional actions, and during moving fish to other cages or separating cages.</p> <p>There is a "Farm Management Plan" dated 1st April 2017.</p> <p>The company has obtained a written safety guarantee from the cage manufacturer that cages can be used for up to 7 years. The company's plan is to change the cage every 6 years. After 5 years, detailed checks are conducted to check for any erosions. During cleaning of cages using a machine (Twice a month), any defect is checked too. Cleaning of cages by the company and contractors has been recorded, as well as the presence or absence of defect. Divers also dive more than once a week to check for any dead fish and defect of cages.</p> <p>Cage manufacturer conducts annual inspection of the cages. Protective potential measurement is also implemented. There is a spreadsheet showing the suitable size of fish against various size of mesh. When fish is sufficiently larger than the defined mesh size, fish is moved to another cage.</p> <p>When the fish is very young, a double layered synthetic fiber cages are used.</p> <p>Cages are attached with plates showing unique identification numbers. Each number is accompanied with production date.</p> <p>Roof nets are attached to all cages in order to prevent escaping. The farm is located in a bay, so even during typhoon, the tide is relatively low and the risk of cage getting damaged is low.</p> <p>There is no predator.</p> <p>On 9th November 2017, training on preventing cage damages and escapes" was conducted. Participants record shows that all necessary staff participated. Same training will be done if new employees come in, but has not been implemented since no new employees has joined since the previous training.</p>	Compliant		

3.3.2	<p>Indicator: Operations will undertake and maintain detailed records on fish escapes and counting. This will include records of breaches in nets, estimates on escapes and stocked vs. recovered fish counts. Note: farms will also include technology and methodology for undertaking fish counts.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain detailed records for mortalities, stocking count, harvest count (recovered fish), and details of escape events and possible escapes (e.g. through holes in nets).</p> <p>b. Calculate the unrecorded stock escape as described in the instructions (above) for the most recent full production cycle. For first audit, farm must demonstrate understanding of calculation and the requirement to disclose unrecorded losses after harvest of the current cycle.</p> <p>c. Make the results from 3.3.2b available publicly. Keep records of when and where results were made public (e.g. date posted to a company website) for all production cycles.</p> <p>d. Others, please describe</p>	<p>Inventory for each cage is kept. During re-sortment, precise number of individual fish is counted. At the time of introduction of stocks, numbers are reported from the supplier. Traditionally, there are likely to be more fish than reported. Identified dead fish is recorded in a diary and summarized.</p> <p>At the first re-sortment, inventory usually shows higher number than reported introduced stock number. At the second re-sortment, there is usually some unknown dead fish. Counting is done manually visually. From the past experience, it is very accurate.</p> <p>In case when escaping was detected, the company is going to report it on the website "yokatoto" of the Aquaculture division of Maruha Nichiro. https://www.maruha-nichiro.co.jp/yokatoto/farm/amami.html</p> <p>Since the 2018 stocks were counted at the time of vaccination, the initial introduction numbers are almost accurate. There is not yet a chance of counting</p>	Compliant		
3.3.3	<p>Indicator: For selectively bred stock or for non-selectively bred stock not from local sources or for wild fingerlings not from local sources more than 2 escape events of 30% (cumulative total fish not recovered) over 2 years.</p> <p>Requirement: No.</p> <p>Applicability: All.</p>	<p>a. Determine whether stocks under culture are selectively bred, non-selectively bred but not from local sources or are from wild fingerlings not collected locally. If none of these apply, requirements 3.3.3 b.-d. do not apply.</p> <p>b. Where appropriate, maintain monitoring records of all incidences of confirmed or suspected escapes, specifying date, cause, and estimated number of escapees.</p> <p>c. Where appropriate, aggregate cumulative escapes (events and numbers) of all stocks in the most recent production cycle.</p> <p>d. Where appropriate, maintain the monitoring records described in 3.3.3a for at least 10 years beginning with the production cycle for which farm is first applying for certification.</p> <p>e. Others, please describe</p>	<p>Not applicable as only artificially hatched stock are used.</p>	Compliant		
3.3.4	<p>Indicator: All escape events of farmed Seriola or Cobia are reported to the pertinent regulatory agency.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Document details of reportable escape events and suspected escape events. Make available details of reportable escapes and make results from 3.3.2b available to regulatory agencies. In absence of regulatory requirement keep the data and make it available for ASC on request.</p> <p>c. Others, please describe</p>	<p>There is no system to report escape events to regulatory agencies.</p> <p>When severe damages occur due to typhoon etc, damage conditions are reported to the prefecture.</p> <p>The company use the fraternal insurance so no reporting for this purpose is needed.</p>	Compliant		

Criterion 3.4 Collection of fingerlings						
3.4.1	Indicator: Evidence that purchased or collected wild fingerlings are harvested from a source fishery with a public fishery assessment, for example FishSource or is in a credible fishery improvement process (FIP) towards an ISEAL compliant fisheries sustainability certification scheme. Requirement: Yes. Applicability: All.	a. Provide details of source fishery from which fingerlings are taken. Provide supporting documentation including purchase orders, invoices, delivery notes etc. that attest to the origin of wild fingerlings. b. Provide FishSource score (www.FishSource.com) for wild fingerling fishery or evidence of MSC certification. If FishSource score or MSC certification is not available, then proceed to 3.4.1 c c. Demonstrate to audit team that the wild fingerling source fishery is in a credible Fisheries Improvement Programme towards an ISEAL compliant fisheries certification scheme d. Others, please describe	Not applicable as only artificially hatched stock are used.	Compliant		
3.4.2	Indicator: Traceability of wild or hatchery purchased or collected fingerlings to their source. Requirement: Yes. Applicability: All.	a. Provide details of hatchery or fishery from which fingerlings are obtained. Provide supporting documentation including purchase orders, transit/movement authorisations, catching vessel details, invoices, delivery notes, stocking records etc. that attest to the origin of all stock present on the farm. c. Others, please describe	Invoice of artificially hatched stock dated 2nd June 2016 and 4th July 2018 issued by the supplier was confirmed. The stock table for each cage is managed, and the number of stock introduction can be checked because it is tied to the supply from the stock company. Information of stock introduction can also be obtained from the daily report.	Compliant		
PRINCIPLE 4: USE RESOURCES IN AN ENVIRONMENTALLY EFFICIENT AND RESPONSIBLE MANNER						
Criterion 4.1 Traceability of marine raw materials in feed						
4.1.1	Indicator: Evidence of traceability, demonstrated by the feed producer, of fishmeal and fish oil ingredients . Requirement: Yes. Applicability: All.	a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records. b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to production of feeds and send them a copy of the ASC Seriola and Cobia Standard. c. For each feed producer supplying the farm, confirm that an independent third party audit of the producer has recently been completed against an ISEAL compliant standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer. d. Obtain declaration from feed producers and suppliers stating that the company can assure traceability of all fishmeal and fish oil ingredients used in making seriola and cobia diets. f. Others, please describe	Only one feed supplier and one feed transport company are used for ASC. Invoice include their contact information. The invoice for the delivery on 21st September 2017 to Maruha Nichiro from the feed supplier, and the invoice dated 30th September 2017, 28th February 2019 from Maruha Nichiro were confirmed in which both the feed name and quantity are specified. In addition, shipment guide from Maruha Nichiro to Amami Yogyo dated 26th September 2017 and 23rd February 2019, as well as the delivery note dated 11th October 2017 and 14th March 2019 from the transport company were confirmed. The company has provided the feed supplier (producer) with the ASC standard on 1st April 2017. They both have been together on ASC project and so the feed supplier understand the requirements well. The feed supplier has ISO 9001 certification. The certificate renewed in 2019 was confirmed. The document ensuring the traceability is obtained from the feed suppliers on the 26th July 2016.	Compliant		

Criterion 4.2 Efficient and optimized diets						
4.2.1	Indicator: a) Fishmeal Forage Fish Dependency Ratio (FFDRm) and Fish Oil Forage Fish Dependency Ratio (FFDRo) for Seriola (calculated using formulae in Appendix 1). Kampachi (S. rivoliana, S. dumerili), Hamachi (S. quinquerediata). b) FFDRm and FFDRo Cobia (calculated using formulae in Appendix 1)	a. Maintain a detailed inventory of the feed used that includes information concerning: · Quantities used of each formulation (kg); · Percentage of fishmeal and fish oil in each formulation used; · Source (fishery) of fishmeal and fish oil in each formulation used; · Percentage of fishmeal and fish oil in each formulation derived from trimmings; · Supporting documentation and signed declaration from feed supplier.	Detailed inventory of the feed is maintained by the feed producer and was provided to auditors at the audit. Amami Yogyo purchases feed from one feed company. Feed details were presented separately to Amita for confidential reason. Percentage of fishmeal and fish oil in each formulation is worked out. The feed producer is obtaining fish species certificate when they purchase raw materials, therefore the supplier fishery of the fishmeal and fish oil is always recorded. Percentage of fish meal and fish oil derived from by-products are recorded. A claim note including percentage composition of raw materials is attached to the container of the feed. Safety/Quality certificate mentioning the origin of raw materials and stamped with a company seal is issued for each formulation. Claim notes and certificates of currently used were confirmed. By-products are exempted from the calculation. Calculated eFCR was 1.90 for 2018 stocks. FFDRm and FFDRo were calculated to be 1.40 and 0.88 respectively. Calculations were checked. Calculation was done as of the end of March 2019, and will be recalculated and confirmed at the time of shipment.	Compliant		eFCR = 1.90 FFDRm = 1.40 FFDRo = 0.88
	Requirement: a) Kampachi: FFDRm ≤ 2.9/FFDRo ≤ 2.9 Hamachi: FFDRm ≤ 6.0/FFDRo ≤ 7.0 (now) FFDRm ≤ 4.8/FFDRo ≤ 5.0 (3 years) FFDRm ≤ 2.9 /FFDRo ≤ 2.9 (6 years) b) FFDRm ≤ 6.0/FFDRo ≤ 6.0 (now) FFDRm ≤ 4.0/FFDRo ≤ 4.0 (3 years) FFDRm ≤ 2.9/FFDRo ≤ 2.9 (6 years)	b. For FFDRm and FFDRo calculations, exclude fishmeal and/or oil derived from rendering of seafood by-products (e.g. the “trimmings” from a human consumption fishery as per more detailed guidance in Appendix 1.				
		c. Calculate eFCR using formula in Appendix 1 .				
		d. Calculate FFDRm and FFDRo using the relevant formulas in Appendix 1 .				
		e. Others, please describe				
4.2.2	Indicator: Use of wet feed and moist pellets.	a. Maintain records of wet fish and moist pellet use on the farm, where the fish content originated from and where it was caught.	No use.	Compliant		
	Requirement: Must be sourced from the same ecosystem as the farm.					
	Applicability: All.	b. Others, please describe				
Criterion 4.3 Responsible origin of marine raw materials						
4.3.1	Indicator: Timeframe for at least 90% fishmeal or fish oil used in feed to come from fisheries certified under an ISEAL member’s accredited certification whose primary goal is to promote ecological sustainability. Requirement: Within 5 years following the date of the publication of the SCAD standards. Applicability: All.	a. Obtain documentation that indicates the relative quantities of fishmeal and fish oil used in feed manufacture that is certified under an ISEAL member’s accredited certification.	Currently procurement only from feed manufacture that is certified under an ISEAL member’s accredited certification is impossible worldwide. The procurement policy of feed including fish meal and fish oil from certified fishery according to the ISEAL membership standards as much as possible is stated in the “oath” dated 1st April 2016. It was renewed on 20th July 2018. The requirement is not applicable as it has not been 5 years since the effective date of ASC Seriola and Cobia Standard.	N/A		
		b. Prepare a letter stating the farm’s intent to source feed containing fishmeal and fish oil originating from fisheries certified under an ISEAL member standard.				
		c. If audit >5years after publication of Seriola and Cobia standards, provide documentation that confirms that requirement for at least 90% fishmeal or fish oil used in feed to come from fisheries certified under an ISEAL member’s accredited certification has been met.				
		d. Others, please describe				

4.3.2	<p>Indicator: Prior to achieving 4.3.1, the fishmeal or fish oil used in feed must have a FishSource score of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP).</p> <p>Requirement: At least 80% of the fish meal and fish oil used in feed (excluding fishmeal and oil from byproducts) must meet this criteria.</p> <p>Applicability: All.</p>	<p>a. Obtain documentation from feed producers and/or suppliers that independently confirms the FishSource scores for at least 80% of fishmeal and fish oil used in feed manufacture. OR</p> <p>b. Where FishSource scores are not available for any particular fishmeal or fish oil ingredient/s, compile evidence that attests to the fishmeal and fish oil suppliers being engaged in a credible FIP.</p> <p>c. Others, please describe</p>	<p>Raw materials excluding the ones derived from by-products together with those with Fish Source Score of 6.0 or higher make up 92.3% of all raw materials.(as of the end of March 2019)</p> <p>Although the fish species of the raw material is unpublished due to the trade secret of the feed company, it was disclosed to the auditors, and the auditors confirmed that all fish source scores other than byproducts were identified by the company.</p>	Compliant		
4.3.3	<p>Indicator: Feed containing fishmeal and/or fish oil originating from by-products or trimmings from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species .</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Compile and maintain, consistent with 4.2.1a, a list of the fishery of origin for all fishmeal and fish oil originating from by-products and trimmings.</p> <p>b. Obtain a declaration from the feed producer and/or supplier stating that no fishmeal or fish oil originating from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species is used to produce feed.</p> <p>c. If meal or oil originated from a species listed as "vulnerable" by IUCN but that species is sourced from a local stock that is not considered vulnerable, obtain documentary evidence to support a request for an exception based on regional differences in status of the relevant species/populations.</p> <p>d. Others, please describe</p>	<p>All have fish species certification from feed ingredient suppliers, and the source of raw materials including by-products is clear.</p> <p>Management policy of the feed supplier mentions about promoting sustainable aquaculture. The feed manufacturer mandated their suppliers to sign the code of conduct in which avoidance of endangered species is mentioned.</p> <p>No endangered or threatened species used.</p>	Compliant		
4.3.4	<p>Indicator: Feed ingredients which come from other fish from the same genus.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Obtain from feed producers and/or suppliers declarations that the fishmeal and/or fish oil does not originate from fish of the same genus as that under cultivation.</p> <p>b. Obtain documentary evidence that feed manufacturer operates procedures to ensure that no raw material in a diet originates from the same genus as the fish for which the diet is intended. This includes all fishmeal and fish oil (including bulk fish and waste/trimmings/byproduct) that may be used.</p> <p>c. Others, please describe</p>	<p>A claim note from the feed supplier including percentage composition of raw materials is attached to the container of the feed. Feed contents safety certificate mentioning the origin of raw materials and stamped with a company seal is issued for each formulation. Claim notes of currently used feed and safety certificate were confirmed. Fish species are not included in the notes.</p> <p>Obtained the testimony that raw materials of the same genus is not included in those documents. All have fish species certification from feed suppliers, and the source of raw materials including by-products is clear. No feed material derived from the same genus is used.</p>	Compliant		

Criterion 4.4 Responsible origin of non-marine raw materials in feed						
4.4.1	<p>Indicator: Presence and evidence of traceability and a responsible sourcing policy for the feed manufacturer for feed ingredients which comply with internationally recognized moratoriums and local laws .</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records.</p> <p>b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to traceability and responsible sourcing for feed manufacturers and/or suppliers.</p> <p>c. For each feed producer used by the farm, confirm that an independent third party audit of the producer was recently completed by a CAB against a standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer.</p> <p>d. Others, please describe</p>	<p>Only one feed supplier and one feed transport company are used for ASC. Invoice include their contact information. The invoice for the delivery on 21st September 2017 to Maruha Nichiro from the feed supplier, and the invoice dated 30th September 2017, 28th February 2019 from Maruha Nichiro were confirmed in which both the feed name and quantity are specified. In addition, shipment guide from Maruha Nichiro to Amami Yogyo dated 26th September 2017 and 23rd February 2019, as well as the delivery note dated 11th October 2017 and 14th March 2019 from the transport company were confirmed.</p> <p>The company has provided the feed supplier (producer) with the ASC standard on 21st Sep 2017. They both have been together on ASC project and so the feed supplier understand the requirements well.</p> <p>The feed supplier has ISO 9001 certification. The certificate renewed in 2019 was confirmed.</p> <p>The document ensuring the traceability is obtained from feed suppliers on the 26th July 2016.</p>	Compliant		
4.4.2	<p>Indicator: Documentation of the use of transgenic plant raw material, or raw materials derived from genetically modified plants, in the feed.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Obtain from feed supplier(s) a declaration detailing the content of transgenic plant raw materials and/or raw materials derived from genetically modified plants, in feed. This requirement is just about knowing that the feed includes or does not include transgenic material and then not claim the opposite.</p> <p>b. Disclose to the buyer(s) a list of any transgenic and /or genetically modified plant raw material used in feeds and maintain documentary evidence of this disclosure. For first audits, farm records of initial disclosures shall pre-date the audit by > 6 months.</p> <p>c. Others, please describe</p>	<p>The company has disclosed the fact that feed they use include no segregated raw materials regarding transgenic plant and their use is described in the response from feed manufacturers and in the quality certificate of feeds.</p> <p>Disclosure to sellers is made available on Maruha Nichiro's "Yokatoto" website. Launched in 2017. https://www.maruha-nichiro.co.jp/yokatoto/farm/amami.html</p>	Compliant		
4.4.3	<p>Indicator: Percent of non-marine ingredients from sources certified by an ISEAL Member's certification scheme that addresses environmental and social sustainability.</p> <p>Requirement: 80% for soy and palm oil within 5 years from the date of the publication of the ASC Seriola and Cobia Standard .</p> <p>Applicability: All.</p>	<p>a. Obtain documentation that indicates the relative quantities of non-marine ingredients used in feed manufacture that is certified under an ISEAL member's accredited certification.</p> <p>b. For non-conforming farms, prepare a declaration stating the farm's intent to source feed that contains non-marine ingredients certified under an ISEAL member standard that addresses both environmental and social sustainability.</p> <p>c. If audit >5years after publication of Seriola and Cobia standards, provide documentation that confirms that requirement for at least 80% of non-marine ingredients used in feed comes from ISEAL member certifications that address both environmental and social sustainability.</p> <p>d. Others, please describe</p>	<p>Currently the feed supplier is not purchasing soybean-derived cake and meal that is certified under an ISEAL member's accredited certification.</p> <p>There is an declaration for the future procurement of Amami Yogyo. Updated on 20th July 2018.</p> <p>The requirement is not applicable as it has not been 5 years since the effective date of ASC Seriola and Cobia Standard.</p>	N/A		

PRINCIPLE 5: PROACTIVELY MAINTAIN THE HEALTH AND WELFARE OF CULTURED FISH AND MINIMIZE THE RISK OF DISEASE TRANSMISSION						
Criterion 5.1 Transfer of pests or parasites to wild stocks						
5.1.1	<p>Indicator: Commitment to participate in an Area-Based Management (ABM) scheme.</p> <p>Requirement: The farm participates in an ABM, where it exists, for managing disease and resistance to treatments.</p> <p>Applicability: All.</p>	<p>a. Keep record of farm's participation in an ABM scheme and communication around scheme availability.</p> <p>b. Submit to the CAB a description of how the ABM coordinates management of disease and resistance to treatments, for instance: – coordination of stocking; – following; – therapeutic treatments; and – information sharing.</p> <p>c. Provide the CAB access to documentation which is sufficient for the auditor to evaluate the ABM's compliance with definition of area, minimum % participation in the scheme, components, and coordination requirements.</p> <p>d. Others, please describe</p>	ABM dose not exist in each area. Hence the indidator is not applicable.	N/A		
5.1.2	<p>Indicator: A demonstrated commitment to collaborate with NGOs, academics and governments on areas of mutually agreed research to measure possible impacts of pests or parasites on wild stocks.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Retain records to show how the farm and/or its operating company has communicated with external groups (NGOs, academics, governments) to agree on and collaborate towards areas of research to measure impacts on wild stocks, including records of requests for research support and collaboration and responses to those requests.</p> <p>b. Provide non-financial support to research activities in 5.1.2a by either: – providing researchers with access to farm-level data; – granting researchers direct access to farm sites; or – facilitating research activities in some equivalent way.</p> <p>c. When the farm and/or its operating company denies a request to collaborate on a research project, ensure that there is a written justification for rejecting the proposal.</p> <p>d. Maintain records from research collaborations (e.g. communications with researchers) to show that the farm has supported the research activities identified in 5.1.2a.</p> <p>e. Others, please describe</p>	<p>There was a request from Kagoshima Fishery Technique Development Center to cooperate in the fish disease test. It was implemented in May 2017. The company has received the result.</p> <p>Shinokawa Branch of the company cooperated in vaccine development. The test was implemented in May 2005.</p> <p>In 2005, the company cooperated Tokyo University to find <i>Benedenia seriolae</i>.</p> <p>On 13th November 2018, the Minami Satsuma branch cooperated with Shibushi Laboratory of National Research Institute of Aquaculture which requested fish to be used for surveying <i>Benedenia seriolae</i>.</p> <p>There are other examples of cooperation.</p> <p>There is a declaration signed on 1st April 2017 to commit to support any research activities. It was updated as of 20th July 2018. As long as the request is reasonable, the company is to support.</p>	Compliant		

5.1.3	<p>Indicator: On-farm testing for ectoparasites, with test results made easily publicly available.</p> <p>Requirement: Yes, with results made easily publicly available within seven days of testing.</p> <p>Applicability: All.</p>	<p>a. Prepare an annual schedule for ectoparasite testing that identifies timeframes of routine testing frequency.</p> <p>b. Maintain records of results of on-farm testing for ectoparasites. If farm deviates from schedule due to weather maintain documentation of event and rationale.</p> <p>c. Document the methodology used for testing ectoparasites ('testing' includes both counting and identifying ectoparasites). The method must follow national or international norms, follows accepted minimum sample size, use random sampling, and record the species and lifestage of the ectoparasite. If farm uses a closed production system and would like to use an alternate method (i.e. video), farm shall provide the CAB with details on the method and efficacy of the method.</p> <p>d. Make the testing results from easily publicly available (e.g. posted to the company's website) within seven days of testing. If requested, provide stakeholders access to hardcopies of test results.</p> <p>e. Keep records of when and where test results were made public.</p> <p>f. Submit test results to ASC at least once per year.</p> <p>g. Others, please describe</p>	<p>50 fishes are applied with an anesthetic every month to check the number of Heteraxine heterocerca and Benedenia seriola and their sizes. Annual plan and records are kept. Divers dive more than once a week, and check the behaviour of the fish to see if they are rubbing their body against something to remove Benedenia seriola or not. When the test schedule is changed, the reason is recorded. The above test method is described in the "Amami Yogyo parasite survey schedule". The test result are available on Maruha Nichiro's "Yokatoto" website. Launched in 2017. Publication of the latest results of the test on 1st April 2019 was confirmed. https://www.maruha-nichiro.co.jp/yokatoto/farm/amami.html</p>	Compliant		
<i>Criterion 5.2 Chemicals and treatments</i>						
5.2.1	<p>Indicator: Use of therapeutic treatments that are banned by law under the local jurisdiction or listed as critically important for human medicine by the World Health Organization</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	<p>a. Maintain a current version of the WHO list of antimicrobials critically and highly important for human health.</p> <p>b. Maintain a list of therapeutants the use of which in finfish aquaculture are banned by law and also maintain a list of therapeutants the use of which in finfish aquaculture are permitted by law.</p> <p>c. If the farm has used antibiotics listed as critically important to human health and/or has used therapeutants that are banned in finfish culture to treat any fish during the current production cycle, inform the CAB prior to scheduling audit.</p> <p>d. If yes to 5.2.1c, request an exemption to the requirement of 5.2.1 from the CAB in order to certify only that portion of production that complies with the indicator. Prior to the audit, provide the CAB with records sufficient to establish details of treatment, which holding facilities were treated, and how the farm will ensure full traceability and separation of treated fish through and post-harvest.</p> <p>e. Others, please describe</p>	<p>The latest WHO list of antimicrobials (Version 20, August 2017) has been prepared. A list of therapeutants permitted by Ministry of Agriculture, Forestry and Fisheries of Japan is available. It is updated annually. The company had Version 31 (31st Jan 2018). "ASC fish therapeutants application management sheet" is used to manage. "Department ledger" also records the use of inventory. Only Oxytetracycline was used for current certification fish.</p>	Compliant		

5.2.2	<p>Indicator: Prophylactic use of chemical antimicrobial treatments (excluding prebiotics or vaccinations).</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	<p>a. Maintain records for all purchases of chemical antimicrobials (invoices, prescriptions) for the current and prior production cycles.</p> <p>b. Maintain a detailed log of all medication-related events (see also 5.2.1a and 5.2.3).</p> <p>c. Calculate the total amount (g) and treatments (#) of chemical antimicrobials used during the current and preceeding production cycles.</p> <p>d. Others, please describe</p>	<p>All purchase records of fishery medicines since April 2016 were checked. Purchase ledger is used to record. Since April 2016, the inventory records of the fishery records are available.</p> <p>"ASC fish therapeutants application management sheet" is used to manage. Medicines are used once fish diseases are confirmed. When fish diseases are found, the fish is sent to a veterinarian and instructed amount of medicines are used with a prescription. Disease name, Medicine name and amount of medicine used are recorded. Also, the date of disease occurrence and the date of dosing are recorded in the fish inventory.</p> <p>Amount of the medicine is calculated from the weight of a fish and number of fishes, When there is a prescription, the amount specified in the prescription was used.</p> <p>Record of purchasing OTC in July 2017 was confirmed. A prescription was not necessary because it was within the prescribed amount. The medicine was used after confirming the outbreak of the disease.</p> <p>No use of medicines in a preventive mannar was confirmed.</p>	Compliant		
5.2.3	<p>Indicator: Farms have a comprehensive fish health management plan approved by the farm's designated veterinarian that includes either a) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists, or b) veterinarian-approved alternative fish health management strategies.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Prepare a fish health management plan that incorporates components related to identification and monitoring of fish disease and parasites. This plan may be part of a more comprehensive farm planning document.</p> <p>b. Ensure that documentation is available to verify that the fish health management plan includes mandatory procedures for either: i) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists; OR ii) veterinarian-approved alternative fish health management strategies.</p> <p>c. Ensure that the farm's current fish health management plan was reviewed and approved by the farm's designated veterinarian.</p> <p>d. Demonstrate that the farm complies with World Organisation for Animal Health (OIE) regulations relating to transfer of fish/eggs/fingerlings, Specific pathogen free status and quarantine status (see http://www.oie.int/international-standard-setting/aquatic-code/access-online/).</p> <p>e. Others, please describe</p>	<p>Seriola dumerili Health Management Plan dated 12th August 2017 is in place. It includes vaccination plan and measures in case fish diseases are identified.</p> <p>For artificially hatched stocks, vaccination is applied. Audit team confirmed "Aquatic vaccine use application" dated 23rd May 2017 and 19th June 2018 submitted to the prefecture and delivery note from the vaccine sales company dated 30th May 2017 and 4th July 2018.</p> <p>Health management plan was approved and sealed by the veterinarian.</p> <p>No transport of stocks from abroad.</p>	Compliant		

5.2.4	<p>Indicator: Allowable farm level anti-parasiticide treatment not including freshwater, formaldehyde or hydrogen peroxide.</p> <p>Requirement: None .</p> <p>Applicability: All.</p>	<p>a. Identify permitted anti-parasiticides that may be applied to stock during the farming procedure in the fish health management plan. Provide Material Data Safety Sheets for all anti-parasiticide products that are used. Only freshwater, formaldehyde and hydrogen peroxide is allowed and others are banned.</p> <p>b. Make available records relating to all chemical, veterinary and therapeutant suppliers. Include Invoices, laboratory testing results as well as prescriptions and treatment records.</p> <p>c. Others, please describe</p>	<p>Only hydrogen peroxide is used as anthelmintic. SDS has been obtained. Use records are kept. The stocks were treated with a hydrogen peroxide for a total of 19 times from the time of the fingerlings introduction to the time of the on-site audit (11th April 2019).</p>	Compliant		
<i>Criterion 5.3 Environmental welfare</i>						
5.3.1	<p>Indicator: Weekly average percent dissolved oxygen (DO) saturation on farm, calculated in the following methodology.</p> <p>Requirement: >70% saturation .</p> <p>Applicability: All farms. Exception can be granted to farms that do not conform to >70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.</p>	<p>a. Monitor and record on-farm percent saturation of DO at a minimum of twice daily using a calibrated oxygen meter or equivalent method. For first audits, farm records must cover ≥ 6 months. The ASC recognizes that it is not always safe to carry out weekly monitoring and there can be pragmatic and sensible solutions to testing. Under no circumstances should worker safety be compromised if, for example, there is bad weather.</p> <p>b. Provide a written justification for any missed samples or deviations in sampling time.</p> <p>c. Calculate weekly average percent saturation based on data.</p> <p>d. If any weekly average DO values are < 70%, or approaching that level, monitor and record DO at a reference site and compare to on-farm levels (see Instructions).</p> <p>e. Arrange for auditor to witness DO monitoring and calibration while on site.</p> <p>f. Others, please describe</p>	<p>Amami Yogyo: The company started DO measurement since 1st April 2017. Measurements are made twice a day at 8 am and 1 pm. Do measurement records of every day is kept. When measurement cannot be made due to reasons such as absence of person in charge or defect of device, the reason is recorded. Figures are presented in mg/l. Saturation of sea water is only available for every 5 degrees. DOs of water of temperature in between these figures were estimated. Weekly average saturation was calculated from weekly average water temperature and DO figures. The device was changed on 27th February 2018 and is now displayed in %.</p> <p>There was no week with less than 70%. (Many weeks were more than 100%).</p> <p>Audit team checked on-site, the DO measurement and calibration processes. Calibration is performed before the measurement every day, and the membrane and internal fluid are exchanged once a month.</p>	Compliant		

5.3.2	Indicator: Maximum percentage of weekly samples from 5.3.1 that fall under 70%. Requirement: <5%. Applicability: All farms. Exception can be granted to farms that do not conform to >70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.	a. Calculate the percentage of on-farm samples taken that are less than 70% saturation DO. b. Inform CAB if the percentage of on-farm DO measurements that are less than 70% DO is greater than 5%. Provide data for previous 6 months. c. Others, please describe	There was no week with less than 70%.	Compliant		
PRINCIPLE 6: OPERATE FARMS WITH RESPONSIBLE LABOR PRACTICES <i>Criterion 6.1 Child labor) and young workers</i>						
6.1.1	Indicator: Number of incidences of child labor . Requirement: None. Applicability: All.	a. In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions: · in developing countries where the legal minimum age may be set to 14 years ; or · in countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed. If the farm operates in a country where the legal minimum ages is not 15, then the employer shall maintain documentation attesting to this fact. b. Minimum age of permanent workers is 15 or older (except in countries as noted at 6.1.1a). c. Employer must maintain personnel records that are sufficient to demonstrate conformity with requirements. d. Others, please describe	Article 56 (Minimum Age) of Japanese Labor Standard Act specifies 15 years old as minimum working age. It states "Employers shall not employ children until the end of the first 31st of March that occurs on or after the day when they reach". Philosophy of Maruha Nichiro Group mentions "8. Respecting Human Rights and Prohibiting Forced / Child labour". Company regulation specify to comply with the Labor Standard Act. Amami Yogyo's head office has 40 employees. Audit team checked the lists of employees of the company and confirmed no employee is under 18 years old. The youngest employee is 25 years old. Ages of workers are checked with their CVs, health insurance card, my number card, and identification documents such as license when making employment contract. Then, the age will be updated every year when registering age and birthday in the payroll software. During site visit, there was no suspicious case of child labour.	Compliant		
6.1.2	Indicator: Percentage of young workers that are protected Requirement: 100%. Applicability: All.	a. Young workers are appropriately identified in company policies & training programs, and job descriptions are available for all young workers at the site. b. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs. c. Daily records of working hours (i.e. timesheets) are available for all young workers. d. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours. e. Young workers are not exposed to hazards and do not perform hazardous work . Work on floating cages in poor weather conditions shall be considered hazardous. f. Others, please describe	As above. No young worker either. Job vacancies are offered for those aged 18 or over. Sometimes they accept internship. The company has developed a "Training program and company policy on young workers" on 1st April 2017. When young worker is employed, this program is to be followed. Ages of the workers are checked by above mentioned method. Working hours are recorded using time cards. Intern workers work for 7.5 hours / day just like other employees. No hazardous work is assigned to young workers. Work experience for junior high school students is held every year. Two days experience includes visits to feeding and medicine baths, and explanations of illnesses and medicines. It does not include actual work, only opportunity of having them experience the repair of the net is offered.	Compliant		

Criterion 6.2 Forced, bonded or compulsory labor						
6.2.1	Indicator: Number of Incidents where employers withhold any part of employee salary, property, or benefits upon termination of employment. Requirement: None. Applicability: All.	a. It must be demonstrated that workers are free to leave the employment and workplace and that they are not subject to withholding of payments or denial of any other benefits of employment; or under any other obligations to the employer other than those are legal and contractual in nature. b. Conformity will be verified further through discussion with selected staff members during the on-site audit. c. Others, please describe	Philosophy of Maruha Nichiro Group mentions "8. Respecting Human Rights and Prohibiting Forced / Child labour". There is no evidence of workers subjected to covering the debt. Working hours are specified and workers are not tied to work outside of this specified hours. No-business days are also specified. Workers are free to leave the employment at their own will. The original ID is not kept by the company. The employment regulation mentions that copies of the ID are to be kept. Interview to employees confirmed that they understand their employment conditions including the right the leave employment.	Compliant		
6.2.2	Indicator: Number of incidents where employees are required to surrender original identity documents upon commencing employment (except as required for processing of legal documentation). Requirement: None. Applicability: All.	a. It must be demonstrated that workers are not required to surrender original identity documents except for when and for as long as it is necessary for the purpose of processing legal documentation. b. Conformity will be verified further through discussion with selected staff members during the on-site audit. c. Others, please describe	The original ID is not kept by the company, copy is submitted. Confirmed by interview to workers and managers.	Compliant		
Criterion 6.3 Discrimination in the work environment						
6.3.1	Indicator: Evidence of comprehensive and pro-active antidiscrimination policies, procedures and practices including, but not limited to, discrimination in the workplace and equal access to all jobs in relation to gender, age, race, religion, creed, caste, or sexual orientation. Requirement: Yes. Applicability: All.	a. Demonstrate that employer has a written pro-active anti-discrimination policy in place, stating the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination. b. Demonstrate that employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints and that these policies are understood and adhered to by staff. c. Demonstrate that employer proactively respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises. d. Demonstrate that all managers and supervisors receive training on diversity and non-discrimination and pro-active tolerance of diversity. All personnel receive non-discrimination training. Internal or external training is acceptable if proven effective. e. Others, please describe	Code of conduct of Maruha Nichiro Group includes sections on labour and human rights. A workshop titled "Respecting diversity and creating working environment which is safe and easily communicable" was organized by management of Maruha Nichiro to be held at all of their subsidiary companies. All employees of Amami Yogyo participated in the workshop on 6th Oct 2017. It will be implemented regularly. A policy on anti-discrimination was formulated on 5th January 2019, and posted to the office The first communication channel when employees feel a problem is the direct boss or the head of the office. For cases where this is not easy, there are internal contact in Maruha Nichiro Group and also external contact. These contact information is provided to all employees. "Procedure for setting up and operating an in-house consultation desk" has been prepared. Employment regulation specifies that working condition is created fairly by the person's competence, skills and experience. The wage rules and wage table are described in the employment regulation. In addition, wages are revised once a year. Wages are determined fairly in accordance with wage regulations. No evidence of discrimination was found in Amami Yogyo. Workshops on anti-discrimination are organized.	Compliant		

6.3.2	<p>Indicator: Number of confirmed incidences of discrimination.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Employer maintains a record of all discrimination complaints. Records do not show evidence that the farm discriminates on grounds related to age, gender, religion, race, creed, caste, sexual orientation, national origin, disability, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employees and employee testimonies will be used to confirm that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>c. Others, please describe</p>	<p>There has never been any complaint regarding discrimination. Confirmed by interview to workers and managers.</p>	Compliant		
6.3.3	<p>Indicator: Equality of pay, benefits and promotion opportunities for all employees independent of gender, age, race, religion, creed, caste or sexual orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Include in anti-discrimination policy reference to equality of pay, benefits and promotional opportunities being independent of race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employees and employee testimonies will be used to confirm that the company does not discriminate on pay, benefits or promotional opportunities on the basis of race, caste, religion, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>c. Others, please describe</p>	<p>Employment regulation specifies that working condition is created fairly by the person's competence, skills and experience. Interview to workers confirmed that they do not feel inequality in relation to pay, benefits and promotion opportunities.</p>	Compliant		
6.3.4	<p>Indicator: Number of incidents where employer dismisses an employee on the basis of marital status or pregnancy or deny employee legal rights to pregnancy or maternity leave.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Check human resource records and employee files to verify grounds for dismissal or incidents of denying employee legal rights related to maternity or paternity leave.</p> <p>b. During the on-site audit, interview employees in relation to grounds for dismissal and company performance with respect to the granting of parental leave.</p> <p>c. Others, please describe</p>	<p>Employment regulation section 62 specifies leaves before and after maternity. There is also a regulation on parental leave. Section 50 of the employment regulation specifies that workers can take at least 30 minutes each of parental times twice a day. Section 54 specifies special working hours applied to pregnant workers.</p> <p>There were cases of males workers taking the parental leaves. There was a case of female worker taking the parental leave for a year and a month. Parental leave can be accepted with application, and will not be refused by the company.</p> <p>Interview with workers confirmed that no dismissal or discrimination happens with respect to the granting of parental leave.</p>	Compliant		

Criterion 6.4 Work environment health and safety						
6.4.1	<p>Indicator: Percentage of employees trained in health and safety practices, procedures and policies relevant to the job.</p> <p>Requirement: 100% for operations above five employees.</p> <p>Applicability: All.</p>	<p>a. Employer has documented practices, procedures (including emergency response procedures) and policies to protect employees from workplace hazards and to minimize risk of accident or injury. The information shall be available to employees.</p> <p>b. Employees know and understand emergency response procedures.</p> <p>c. Employer conducts health and safety training for all employees on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization, Occupational Safety and Health (OSH) and effective use of PPE.</p> <p>d. Others, please describe</p>	<p>"Maruha Nichiro Farm Safety Criteria" dated 1st Oct 2015 is in place. It is displayed in the office. Safety criteria for each operation is also in place. They have morning assembly every day and talks about safety issues too. There are posters of first aid, AED using guidance, disaster prevention map and a list of evacuation sites. Setouchi Town organizes evacuation drills. There is a communication flow chart used in case of emergency. All employees study the "Maruha Nichiro Farm Safety Criteria" regularly. Most recent session was held on 6th November 2017. Sign by the checker is taken, too. There are safety enhancement weeks every several months. The information is notified in the assemblies and via posters. The company took action on national health and safety enhancement week (from 1st to 7th Oct), too. Two weeks before this was a national occupational health and safety seminar. Representative of the company participated. The company is considering to make employees responsible for occurrence of any accident participate in the seminar in the future. New divers participate in diving training. After getting the license, they sometimes visit local diving company to receive training. When AED was introduced about 5 years ago, a seminar was held. Almost all workers have license to operate boats. When renewing the license (every 5 years), there is a first aid lecture. Those belong to local Fire brigade, first aid training is organized in the brigade. Fire department come and conducted in-house emergency training and emergency response training on 22nd March 2019. All employees participated and signs of the participants are kept. Usage of AED, cardiopulmonary resuscitation method, evacuation from tsunami were lectured. The director reminds the employees of occupational safety at the end of the day meeting more than once a month. Medical checkup of workers is implemented. For divers, medical checkup is mandated twice a year (including high pressure check).</p>	Compliant		
6.4.2	<p>Indicator: Safety equipment (Personal Protective Equipment, PPE) provided and maintained and in use.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Employer provides workers with PPE that is appropriate to known health and safety hazards.</p> <p>b. Employees receive annual training in the proper use of PPE. For workers who participated in the initial training(s) previously an annual refreshment training may suffice, unless new PPE has been put to use.</p> <p>c. During the on-site audit, employees will be interviewed to confirm the above.</p> <p>d. Others, please describe</p>	<p>"Maruha Nichiro Farm Staff Clothing Regulation (enacted 1st April 2015, updated 1st September 2018)" is in place. Helmets are provided to all workers. When operating outside, all workers wear helmets. Wearing life jackets became mandatory for all workers, so the company purchases life jackets for all workers. On the boat, there are sufficient number of life jackets for all workers. Blouses, trousers, boots and rainwears are also provided to all workers. It is announced that helmet chin straps should be replaced as soon as they become loose. The helmet is replaced whenever it is damaged or heavily soiled. The frequency of exchange differs depending on the work content. Check is done at the time of training once a year. "In-house training plan" is created and, training on safety standards, protective equipment and critical care is planned to conduct every April. On 6th November 2017, there was a workshop on the use of helmets. The explanation on "appropriate use of protective equipment" was given in March 2019, and signs of participants are kept. During assemblies, workers are instructed to follow the Clothing Regulation. Interview to workers confirmed their sufficient recognition of importance of wearing PPE. However, some employees did not wear the life jacket when confirming the work on the ship. Also, the contractor conducting wire mesh cleaning did not wear the life jacket.</p>	Minor	Some employees did not wear the life jacket when confirming the work on the ship. Also, the contractor conducting wire mesh cleaning did not wear the life jacket. In Japan, wearing of life jackets was made compulsory under the Ship Staff and Small Ship Operators Act from 1st February 2018, it shall be minor conditions.	

6.4.3	Indicator: All health and safety related accidents and violations are recorded and corrective actions taken when necessary. Requirement: Yes. Applicability: All.	a. Employer records all health- and safety-related accidents.	<p>All occupational accidents records are kept in a special file. There are accident reports for reporting to Maruha Nichiro.</p> <p>Minor injuries such as tripping over and small cuts are not recorded. Safety issues are always mentioned during morning and evening assemblies.</p> <p>For major accidents, preventive measures are implemented. These preventive measures are informed to workers during the morning and evening assemblies.</p> <p>In the event of an accident, the person involved creates "Employee accident record and correction plan".</p> <p>Even for minor accidents, preventive measures are notified to employees at the meeting. Seven worker accidents occurred in 2018.</p> <p>The production manager checks with employees whether there is near-miss accident and records it on the near-miss check sheet every weekend. Employees write "near-miss report".</p>	Compliant		
		b. Employer records and maintains complete documentation for all occupational health and safety events, accidents, violations and investigations.				
		c. Employer implements corrective action plans in response to any accidents that occur. Plans are documented and they include an analysis of root cause, actions to address root cause, actions to remediate, and actions to prevent future accidents of similar nature.				
		d. Interview employees in order to determine what procedures are implemented and explain what analysis has been done and what steps were taken on foot of accidents or health and safety related events or concerns.				
		e. Others, please describe				
6.4.4	Indicator: Evidence of employer responsibility and/or proof of insurance (accident or injury) for 100% of worker costs in a job-related accident or injury when not covered under national law. Requirement: None. Applicability: All.	a. Employer maintains and makes available documentation to confirm that all personnel are adequately insured to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must be provided to all workers including part-time, temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance.	<p>Workers' Accident Compensation Insurance is applied. Application form of the insurance dated 8th June 2018 was confirmed. Application form for payment of compensation for each accident such as the one dated 28th March 2019 was confirmed. Workers are also covered by additional Injury Insurance (application for the FY 2018 confirmed).</p>	Compliant		
		b. Others, please describe				

Criterion 6.5 Wages						
6.5.1	<p>Indicator: Percentage of workers whose basic wage (before overtime and bonuses) is below the minimum wage.</p> <p>Requirement: 0%.</p> <p>Applicability: All.</p>	<p>a. Employer keeps documents to show the legal minimum wage in the country of operation. If there is no legal minimum wage in the country, the employer keeps documents to show the industry-standard minimum wage. The intention of this indicator is to protect the most vulnerable workers, other staff such as managers may be paid in kind and are not to be considered as 'workers' for the purpose of this indicator.</p> <p>b. Employer's records (e.g. payroll) confirm that worker's wages for a standard work week (≤ 48 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show how the current wage meets or exceeds industry standard. If wages are based on piece-rate or pay-per-production, the employer's records must show how workers can reasonably attain (within regular working hours) wages that meet or exceed the legal minimum wage.</p> <p>c. Maintain documentary evidence (e.g. payroll, timesheets, punch cards, production records, and/or utility records). Workers will be interviewed during on-site audit to verify conformity with the above.</p> <p>d. Others, please describe</p>	<p>Minimum wage of Kagoshima Prefecture is 761 yen/hour (Since Oct 2018). A document issued by Kagoshima Prefecture was confirmed.</p> <p>Minimum wage is reviewed in October every year. When part time workers are to be lower than the minimum wage, their employment contract is revised to reflect the new minimum wage. Revised employment contract was confirmed.</p> <p>Salary calculation is based on Salary System. Working hours are managed by time cards. Audit team confirmed with wage ledger that salaries paid are according to working hours. (Payroll statement list is created manually for confirmation). At present, a face recognition system is being introduced, and in the future, attendance and leaving times will be recorded, and salary will be calculated automatically.</p> <p>Interview to workers also confirmed that appropriate wage is paid.</p>	Compliant		
6.5.2	<p>Indicator: The percentage of workers whose basic wage (before overtime and bonuses) is below the basic needs wage 5 years after adoption of the standard.</p> <p>Requirement: 0%.</p> <p>Applicability: All.</p>	<p>a. Auditor to calculate the basic needs wage and compare it to the farm's calculation to verify for accuracy.</p> <p>b. Provide evidence that all farm workers are paid at least the basic needs wage (before overtime and bonuses) within 5 years of publication of the seriola and cobia standard.</p> <p>c. Demonstrate basic needs wage for the country of operation. The audit team will verify accuracy of the calculation and end figure.</p> <p>d. Others, please describe</p>	<p>Minimum wage is the basic needs wage. Minimum wage is defined for each prefecture and reviewed in October every year.</p> <p>In Japan, the minimum wage is calculated for each prefecture and reviewed every October. When calculating the minimum wage, surveys on living wage of prefectures are made by each prefecture and decided. Therefore, in Japan, the minimum wage is set above the living wage required by the ILO. There is no situation that they receive the minimum wage and can not live a normal life.</p>	Compliant	<p>【Observation】 The basic needs wage shall be calculated by October 2021, the fifth year of the seriola and cobia standard.</p>	
6.5.3	<p>Indicator: Evidence of transparency in wage-setting and rendering.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Wages and benefits are clearly articulated to workers and documented in contracts.</p> <p>b. The method for setting wages is clearly set out and explained to workers.</p> <p>c. Employer renders wages and benefits in a way that is convenient for the worker (e.g. cash, check, or electronic payment methods). Workers do not have to travel to collect benefits nor do they receive promissory notes, coupons or merchandise in lieu of payment.</p> <p>d. Workers will be interviewed to confirm conformity with the standards requirements.</p> <p>e. Others, please describe</p>	<p>Initial wages are specified in the employment contract for part-timers, and it states that regular employees are in accordance with the separate sheet. A notice of working conditions is delivered as a set at the time of all employment contracts, and the wages are stated on it.</p> <p>Salary is revised once a year in April.</p> <p>Wage regulation specifies basic wage, skill based wages, position allowances and other allowances.</p> <p>Payments are done by bank transfer. "Bank transfer request for wages" was confirmed.</p> <p>Interview to employees confirmed that they understand the conditions about wages and benefits specified in working condition notice. The interview also confirmed that payments are made appropriately.</p>	Compliant		

Criterion 6.6 Access to freedom of association and the right to collective bargaining						
6.6.1	<p>Indicator: Percentage of employees with access to trade unions, worker organizations, and/or the ability to self-organize as well as the ability to bargain collectively or access the representative(s) chosen by workers without management interference.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. Demonstrate that all workers have the freedom to join a trade union or any legitimate workers organisation, free of any form of interference from employers or competing organizations set up or backed by the employer. Farms shall prepare documentation to demonstrate to the auditor that domestic regulation fully meets these criteria.</p> <p>b. Demonstrate that workers are permitted to self-organize and/or engage in collective bargaining.</p> <p>c. During interviews with workers, verify conformity with the requirements of 6.6.1 and that workers are free to access worker chosen representatives without interference from management or agents of the company.</p> <p>d. Others, please describe</p>	<p>They do not have trade unions. Maruha Nichiro has a trade union but it is not relevant for employees of Amami Yogyo.</p> <p>Amami Yogyo has a designated worker's representative. There are agreements between the worker's representative and the management.</p> <p>So far neither company's employees requested to form a trade union.</p> <p>The employees do not have collective bargaining, but they individually consult with the director. If there is a request, opportunity for collective bargaining is provided, but there is currently no request from employees.</p> <p>Interview to employees confirmed that even though there is no trade union, they are free to form a union.</p>	Compliant		
6.6.2	<p>Indicator: Incidences of members of unions or worker organizations being discriminated against.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. During interviews with workers and workers representatives, determine if there are incidents of members of unions or workers organizations being discriminated against by management.</p> <p>b. Review any stated cases of discrimination on the basis of union membership or membership of workers organisations with management to verify whether the farm is in conformity with requirements of the standard.</p> <p>c. Others, please describe</p>	<p>There is no trade union.</p>	Compliant		
Criterion 6.7 Harassment and disciplinary practices in the working environment causing temporary or permanent physical and/or mental harm						
6.7.1	<p>Indicator: Incidences of excessive or abusive disciplinary Actions.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Verify that the employer does not use threatening, humiliating or punishing disciplinary practices that negatively impact a worker's physical and mental health or dignity.</p> <p>b. Allegations of corporal punishment, mental abuse, physical coercion, or verbal abuse must be fully documented in a company procedure so that these can be corroborated by auditors.</p> <p>c. During on-site audit, workers will be interviewed to determine whether there is evidence of excessive or abusive disciplinary actions.</p> <p>d. Others, please describe</p>	<p>Employment Regulation section 27 specifies disciplinary regulations. It mentions that the purpose of the regulation is to "enhance working efficiency and maintain ordered discipline".</p> <p>In case employees feel a proleem, there are internal contact and external contact of Maruha Nichiro Group</p> <p>No disciplinary application so far.</p> <p>Interview to employees confirmed that there is no excessive disciplinary actions.</p>	Compliant		

6.7.2	Indicator: Evidence of clear, fair and transparent disciplinary procedures documented and communicated to employees. Requirement: Yes. Applicability: All.	a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker. Maintain evidence that employees are aware of procedures and that the process is transparent. b. Maintain documentary audit trail for incidences of disciplinary action and outcome (incl. worker evaluation reports). Workers may be interviewed during onsite audit to determine level of conformity and that disciplinary action policy is fair and effective. c. Others, please describe	Employment Regulation section 27 specifies disciplinary regulations. It mentions that the purpose of the regulation is to "enhance working efficiency and maintain ordered discipline". No disciplinary application so far.	Compliant		
6.7.3	Indicator: Evidence that incidences of harassment are recorded and addressed with corrective actions. Requirement: 100%. Applicability: All.	a. Employer has in place a policy in relation to harassment of workers. The policy requires a procedure to be initiated in the event of incidents of harassment by management of workers or between workers. The procedure is documented and records details, action taken, outcome and corrective actions required. b. During the on-site audit, interview workers with respect to harassment, policies and procedures as well as examples of harassment action and outcomes to verify level of conformance. c. Others, please describe	Disciplinary regulation is applied to sexual and power harassment. "Philosophy of Maruha Nichiro" includes avoidance of harassment. When harassment happens, there are communication channels (i.e. direct boss, internal contact and external contact). There is a "procedure for setting up and operating in-house consultation desk for a harassment". Confirmed in interviews with managers and employees that there has been no reported case of harassment.	Compliant		
<i>Criterion 6.8 Working hours and overtime</i>						
6.8.1	Indicator: Incidences, violations or abuse of working hours or overtime laws. Requirement: None. Applicability: All.	a. The employer must make available documentation showing the legal requirements for working hours and overtime in the region where the farm operates. If local legislation allows workers to exceed internationally accepted recommendations (48 regular hours, 12 hours overtime) then requirements of the international standards apply. b. Examination of a randomly selected sample of records (by the auditor) – including time sheets and payroll records show that farm workers do not exceed the number of working hours allowed under the law. c. If an employer requires employees to work shifts at the farm (e.g. 10 days on and six days off), the employer compensates workers with an equivalent time off in the calendar month and there is evidence that employees have agreed to this schedule (e.g. in the hiring contract) d. Farm workers may be interviewed to confirm there is no abuse of working hours and overtime laws. e. Others, please describe	Working hours is regulated by the Labour Standard Act. Working hours exceeding what is allowed by the Act has not been found. Interview to workers confirmed that there is no abuse of working hours and overtime laws. Employment regulation specifies starting time as 7:00 and finishing time as 16:00 with 15 minutes break in the morning, 1 hour lunch time and 15 minutes break in the afternoon (in total 1.5 hours of break). Working hours are recorded using time cards. Person in charge summarizes the working hours of all employees manually once a month. They plan to move to a face recognition system in the future. In the busy season (December), working on non-business days and overtime happen more often. Defined extra wages are paid for these works. There is no seasonal shift. Workers use their paid holidays during less busy seasons. Percentage of using paid holidays is high.	Compliant		

6.8.2	<p>Indicator: Overtime is limited, voluntary, paid at a premium rate and restricted to exceptional circumstances.</p> <p>Requirement: Yes.</p> <p>Applicability: All farms unless exempted.</p>	<p>a. Make available payment records (e.g. pay advice) show that workers are paid a premium rate for overtime hours.</p> <p>b. Overtime is limited and occurs in exceptional circumstances as evidenced by farm records (e.g. production records, time sheets, and other records of working hours)</p> <p>c. Workers may be interviewed to confirm that all overtime is voluntary (unless there is a collective bargaining agreement in place which specifically allows for compulsory overtime).</p> <p>c. Others, please describe</p>	<p>Wage ledger is in place.</p> <p>When working overtime, workers submit application and gain approval. Overtime hours are recorded on 10 minute basis. Overtime works rarely happens.</p> <p>When the application data differs from time card data, HR personnel checks with the worker and corrects the data of application or time card.</p> <p>Interview to employees confirmed that overtime work is not compulsory and only happens in limited situations. Any overtime results in additional payment.</p> <p>The dive time is recorded on the dive allowance application form, and a dive allowance is provided separately.</p> <p>When checked the calculation of working hours and wages, there were no problems including overtime allowances.</p>	Compliant		
<i>Criterion 6.9 Contracts or other written employment agreements</i>						
6.9.1	<p>Indicator: Percentage of workers who have contracts or other written employment agreements.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. The employer maintains a record of all employment contracts.</p> <p>b. There is no evidence for labor-only contracting relationships or false apprenticeship schemes.</p> <p>c. Be advised that workers will be interviewed to confirm the above.</p> <p>d. Others, please describe</p>	<p>Employment contact is made with all employees including part-time workers and re-employed employees. Contracts are renewed according to the contract term except for regular employees.</p> <p>There is no evidence of labour-only contracting relationship or false apprenticeship schemes.</p> <p>Interview to employees confirmed above.</p>	Compliant		
6.9.2	<p>Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors when operating on the farm site.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Farm has a policy to ensure that all companies contracted to provide supplies or services (e.g. divers, cleaning, maintenance) have socially responsible employment practices and policies.</p> <p>b. Producing company has criteria for evaluating its suppliers and contractors. The company keeps a list of approved suppliers and contractors.</p> <p>c. Producing company keeps records of communications with suppliers and subcontractors that relate to compliance with 6.9.2.</p> <p>d. All workers on site including those indirectly employed are to be protected by the requirements of Principle 6 and the auditor can check records, observations and interviews with these workers to evaluate compliance.</p> <p>e. Others, please describe</p>	<p>There is a supplier list for 2019. The list includes evaluation results.</p> <p>The companies' website were checked to see if there is an employment policy with social responsibility, if not, questionnaire was used.</p>	Compliant		

Criterion 6.10 Conflict resolution						
6.10.1	Indicator: Evidence of worker access to effective, fair and confidential grievance procedures. Requirement: Yes. Applicability: All.	a. The employer has a clear labor conflict resolution policy for the presentation, treatment, and resolution of worker grievances in a confidential manner, supported by a documented procedure. b. Workers are familiar with the company's labor conflict resolution policies and procedures. There is evidence that workers have access to fair treatment of complaints. c. The farm must maintain documentary evidence (e.g. complaint or grievance filings, minutes from review meetings). Workers may be interviewed during on-site audit in order to verify conformity. d. Others, please describe	So far there has been no record of any grievance. In case of a grievance, in-house consulting or internal/external contacts can be used for reporting. There is a leaflet provided to all employees introducing the internal and external contacts. Interview to employees confirmed that they have not submitted any grievance nor any case where they wanted to submit grievances but could not for whatever reason.	Compliant		
6.10.2	Indicator: Percentage of grievances handled that are addressed within a 90-day timeframe. Requirement: 100%. Applicability: All.	a. The employer maintains a record of all grievances, complaints and labor conflicts that are raised. b. The employer keeps a documentary record of follow-up and outcome, according to procedural requirements (including corrective actions) and timeframe in which grievances are addressed. c. Workers will be interviewed to verify conformity with the procedure for dealing with grievances and that they were addressed within a 90-day timeframe. d. Others, please describe	So far there has been no record of any grievance.	Compliant		
Criterion 6.11 Living conditions for employees accommodated on the farm						
6.11.1	Indicator: Farm employees have access to clean, sanitary, safe and suitable living conditions. Requirement: Yes. Applicability: All.	a. Provide evidence that potable/safe drinking water is always available for workers b. Provide evidence that adequate sanitary facilities are available for workers c. Provide evidence of safe, secure and quality accommodation sufficient to withstand local conditions in the event of storms or other natural events that could endanger lives. d. Provide evidence that accommodation provided is suitable to workers needs (and their family's), appropriate for their gender if accommodated on site also. d. Others, please describe	Not applicable as no worker accommodate on farms.	N/A		

6.11.2	Indicator: Existence of separate sanitary and toilet facilities for men and women; with the exception of work sites with fewer than 10 employees or where married couples are working and accommodated together. Requirement: Yes. Applicability: All farms and accommodation and worksites except as permitted exclusions (6.11.2a).	a. Provide separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together and at worksites that have less than 10 employees. b. Others, please describe	Not applicable as no worker accommodate on farms.	N/A		
PRINCIPLE 7: BE A GOOD NEIGHBOR AND CONSCIENTIOUS CITIZEN PRACTICES <i>Criterion 7.1 Community engagement</i>						
7.1.1	Indicator: Evidence of regular and meaningful consultation and engagement with community representatives and organizations. Requirement: Yes. Applicability: All.	a. The farm pro-actively arranges for consultations with the local community at least twice every year (bi-annually). b. Consultations are meaningful. OPTIONAL: the farm may choose to use participatory Social Impact Assessment (pSIA) or an equivalent method for consultations. c. Consultations include participation by representatives from the local community who were asked to contribute to the agenda in advance of meetings. d. Consultations include communication about, or discussion of, the potential human health risks of therapeutic treatments. The intention is for the farm to resolve conflicts that the farm has control / responsibility over and interviews are to be conducted in language appropriate to the community. Not to use technical language like for instance, 'theraputants'. e. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above. f. Be advised that representatives from the local community and organizations may be interviewed to confirm the above. g. Others, please describe	Records of dialogues with local community are kept. This year, they had dialogues with other farming compaies (6 of them), tour acceptance, Seto Inland Fishery Cooperative Youth Division meeting, Amami archipelago oil control such as prevention conference, experience learning, village briefing session and so on. Explanatory session was held on 6th November 2017 in local ward to explain about the plan for moving part of their fishery right. On 2nd April 2019, explanation of potential health risks to humans from drug administrationand was given to the local residents and discussion was held. Employees of the company participate in local events, festivals (three villages nearby) and port festivals several times a year. The company makes financial contributions to the events and festivals. Last year, an employee served as a lecturer in a seminar.	Compliant		

7.1.2	Indicator: Presence and evidence of an effective policy and mechanism for the presentation, treatment and resolution of complaints by community stakeholders and organizations. Requirement: Yes. Applicability: All.	a. Farm policy provides a mechanism for presentation, treatment and resolution of complaints lodged by stakeholders, community members, and organizations. b. The farm follows its policy for handling stakeholder complaints as evidenced by farm documentation (e.g. follow-up communications with stakeholders, reports to stakeholder describing corrective actions). c. The farm's mechanism for handling complaints is effective based on resolution of stakeholder complaints (e.g. follow-up correspondence from stakeholders). d. Be advised that representatives from the local community, including complainants where applicable, may be interviewed to confirm the above. e. Others, please describe	"Clients Opinion handling method" was made. The director confirms the facts, consider measures, and respond to the client as the contact person. Complaints usually go to the fisheries cooperative association. The company has never directly received any complaint. Complaints are recorded in "Claim Report". There was a formal complaint from Setouchi Town Sea Conservation Society dated 18th January 2016. It was claiming that tuna farming may be causing the sea water quality to be lower. It was submitted in a written form to Setouchi Town, Oshima Office and Setouchi fisheries cooperative association. The fisheries cooperative association organized a meeting of farmers on 25th Feb 2016. The company explained their situation and the fisheries cooperative association summarized the whole situation of the town and responded to the Setouchi Town Sea Conservation Society. No further action has been taken from either parties since then.	Compliant		
<i>Criterion 7.2 Respect for local cultures and traditional territories</i>						
7.2.1	Indicator: Local groups consulted during project design and operation. Requirement: At least 2x per year or as required by relevant local and/or national laws and regulations. Applicability: All.	a. As required by law in the jurisdiction: – farm consults with local and/or indigenous groups and retains documentary evidence (e.g. meeting minutes, summaries) to show how the process complies with 7.2.1b. b. Farm management demonstrates an understanding of relevant local and/or national laws and regulations that pertain to consultations with indigenous groups. c. Representatives from the local community, including complainants where applicable, may be interviewed to confirm the above consultation and engagement with local groups at planning and operational stages. d. Others, please describe	There is no legislation regarding local consultations.	N/A		
<i>Criterion 7.3 Access to resources</i>						
7.3.1	Indicator: Changes undertaken restricting access to vital community resources without community approval. Requirement: 0. Applicability: All.	a. Resources that are considered vital to the community have been documented and are known by the farm (i.e. through the assessment process required under Indicator b. The farm seeks and obtains community approval before undertaking changes that restrict access to vital community resources. Approvals are documented. c. Representatives from the community may be interviewed to provide evidence of whether or not the farm has restricted access to vital resources without prior community approval. d. Others, please describe	No obvious resources that are considered vital to the community. Fishing maybe considered one. The company allows people to fish freely outside of farming unit. Local approvals when establishing specific fishing rights, and exercise agreements and approvals from fishery association were confirmed. Interview to local community confirmed that there is no resource that they consider vital.	Compliant		

7.3.2	Indicator: Assessments of company's impact on access to resources.	a. There is a documented assessment of the farm's impact upon access to resources. Can be completed as part of community consultations under 7.2.1.	The company is using Town managed tap water rather than the simple water-supply system of the area. But the company also uses surplus of the the simple water-supply system and pays the fee to local water association. Interview to local community confirmed that there is no evidence of the companies' resource use influencing the community in any way. However, the assessment results are not documented. It is recommended to document the assessment results.	Compliant	【Observation】 Amami Yogyo should document the results of assessment of the farm's impact upon access to resources.	
	Requirement: At least once per year.	b. Representatives from the community may be interviewed to generally corroborate the accuracy of evidence presented in 7.3.2a.				
	Applicability: All.	c. Others, please describe				

11 Findings

Risk evaluation

11.1 DO NOT DELETE ANY COLUMN

11.2 Columns B/C/D/E (in black) are automatically populated from the species checklist/audit manual

Each NC is raised against a standard indicator or a CAR requirement

11.4 Use the "sort" function for presenting the list to your liking (e.g. grading, status, closure deadline, etc.)

E1. The OAB shall complete tables E2 and E3

E2. The OAB shall add the list of additional threats (Annex E, E4.2.1.J) to this table and provide its risk category and an explanation to support it to this table.

11.5 Add new rows as needed

11.6 Adjust the column width and row as needed – to show the whole text

NC reference	Indicator	Grade of NC	Description of NC	Evidence	Date of detection	Status	Related VR (#)	Root cause (by client)	Corrective/ preventive actions proposed by UoC and accepted by OAB	Deadline for NC close-out	Evaluation by OAB (including evidence)	Actual date of close-out	Date request for delay received	Justification for delay	Next deadline	Request evaluation by OAB	Date request approved
2018.1	2.3.1	Minor	The farm should evaluate whether or not the impact of the wild cat on the forest ecosystem can be mitigated by positively managing the wild cat in the vicinity of the facility, etc., and implement measures to reduce the impact. The farm did not evaluate the impact on all ecosystems including the terrestrial ecosystem, it shall be minor conditions.	A sales company of fisheries medicines voluntarily implement annual seabed investigation to check sulphide concentration. The results show low levels. The latest investigation took place on 14th November 2018, and the result was an average of 0.06 mg/g. Setouchi fisheries cooperative association is also conducting bed sediment test in the farm. Coral reefs can be found in surrounding areas of the farm. But the farm itself is located in areas of 15-46m deep and so not above coral reefs. A consultation to a local diver who is an wildlife expert confirmed that no impact on coral reef is seen. The farming is taking place since 1977. Reddata book of Kagoshima Prefecture has been prepared and CR and EN species were listed up. Interview with the company employees and two local diving instructors revealed that Sternula albifrons is found to come migrating in April every year. Chair person of Amami Wild Bird Association was consulted and it was confirmed that there is no breeding record near the farm and so the risk of this bird getting caught in the net is low. Eretmochelys imbricata is observed once or twice a year at offshore. The diving instructors confirmed that ruffs are clearly visible so that there is no risk of them colliding. They feed in the coral reefs which is not around the farm. Egg-laying sites are not near the farm so the farm does not have any impact. Reddata list of Ministry of the Environment identifies Euphyllia paraglabrescens, but its distribution does not overlap with the farm. Rhysicothys aspro can be the case in fish, but as a result of interviews with local officials, none has been confirmed case around the farm. The above results are summarized in a document as risk assessment results. It concluded that there is little risk of affecting critical species or sensitive habitats. However, during the examination, it was confirmed that there are multiple wild cats around the Amami Yogyo facility. There are many endemic species such as Amami no Kurousagi (Pentalagus furnessi) in the forest of Amami Oshima, but predation by wild cats has become a problem. Although the farm does not have direct affection, it is desirable to evaluate whether the impact of the wild cat on the forest ecosystem can be mitigated by positively managing the wild cat around the facility, such as contraception.	12/4/2019			Efforts to control the increase in wild cats has not been implemented.	Consulted the Ministry of the Environment on Amami Oshima Islands, and the necessity of controlling the increase in wild cats is confirmed. Amami Yogyo is going to manage the wild cat around the facility by asking the local government to conduct the trap-neuter-return (TNR) approach in accordance with "Management Plan on Feral Cats in Amami Oshima Island for Ecosystem Conservation (2018-2027)" issued by Naha Nature Conservation Office, Ministry of the Environment.								
2019.2	6.4.2	Minor	Some employees did not wear the life jacket when confirming the work on the ship. Also, the contractor conducting wire mesh cleaning did not wear the life jacket. In Japan, wearing of life jackets was made compulsory under the Ship Staff and Small Ship Operators Act from 1st February 2018, it shall be minor conditions.	"Maruha Nichiro Farm Staff Clothing Regulation (enacted 1st April 2015, updated 1st September 2018)" is in place. Helmets are provided to all workers. When operating outside, all workers wear helmets. Wearing life jackets became mandatory for all workers, so the company purchases life jackets for all workers. On the boat, there are sufficient number of life jackets for all workers. Blouses, trousers, boots and rainwears are also provided to all workers. It is announced that helmet chin straps should be replaced as soon as they become loose. The helmet is replaced whenever it is damaged or heavily soiled. The frequency of exchange differs depending on the work content. Check is done at the time of training once a year. "In-house training plan" is created and, training on safety standards, protective equipment and critical care is planned to conduct every April. On 8th November 2017, there was a workshop on the use of helmets. The explanation on "appropriate use of protective equipment" was given in March 2019, and signs of participants are kept. During assemblies, workers are instructed to follow the Clothing Regulation. Interview to workers confirmed their sufficient recognition of importance of wearing PPE. However, some employees did not wear the life jacket when confirming the work on the ship. Also, the contractor conducting wire mesh cleaning did not wear the life jacket.	12/4/2019	Open		One worker lacked the awareness of wearing life jacket. (He was temporarily removing the life jacket for the use of landing net for Seniola dumerli, which has a lot of movement.) No attention was given to him (non-wearers) from the surrounding employees. Also, the contractors did not wear life jackets thoroughly, but there was no alert from Amami Yogyo.	An explanation was given on the use of the life jacket. In addition, employees always check to ensure that the life jacket is worn before, during, or during shipboard operations. If the jacket is not worn, employees are not allowed to engage in boarding and offshore work. The director gives a regular reminder at the morning and the end of the day meeting. Also, they ask the representative of contractors to ensure that all crew members wear the jackets, and Amami Yogyo employees appropriately check and give caution to make sure that the life jackets is worn.								
	6.5.2	Compliant	[Observation] The basic needs wage shall be calculated by October 2021, the fifth year of the seniola and cobia standard.	Minimum wage is the basic needs wage. Minimum wage is defined for each prefecture and reviewed in October every year. In Japan, the minimum wage is calculated for each prefecture and reviewed every October. When calculating the minimum wage, surveys on living wage of prefectures are made by each prefecture and decided. Therefore, in Japan, the minimum wage is set above the living wage required by the ILO. There is no situation that they receive the minimum wage and can not live a normal life.	12/4/2019												
	7.3.2	Compliant	[Observation] Amami Yogyo should document the results of assessment of the farm's impact upon access to resources.	The company is using Town managed tap water rather than the simple water-supply system of the area. But the company also uses surplus of the simple water-supply system and pays the fee to local water association. Interview to local community confirmed that there is no evidence of the companies' resource use influencing the community in any way. However, the assessment results are not documented. It is recommended to document the assessment results.	12/4/2019												

ASC Audit Report – Traceability

10	Traceability Factor	Description of risk factor if present.	Describe any traceability, segregation, or other systems in place to manage the risk.
10.1	The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, produced within the same operation.	Non-certified fish is also farmed in the same farm.	Cages are completely separated and cages for ASC-certified fish are identified by unique cage number.
10.2	The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, present during production, harvest, transport, storage, or processing activities.	Non-certified fish is also farmed in the same farm.	Harvesting is conducted by cage and harvesting of different cages will not be conducted at the same time. After harvesting, harvested certified fish are put in a special fish container to be transported to processing facilities. In addition, the cabin of the carrier is completely separated, so different caged fish can not be mixed in the carrier. ASC fish and non-certified fish are completely separated and identified and do not mix until the fish reach the processing plant all the way from the cage
10.3	The possibility of subcontractors being used to handle, transport, store, or process certified products.	Transporting of fish may be outsourced to logistic ships.	Harvesting is conducted by cage and harvesting of different cages will not be conducted at the same time. After harvesting, harvested certified fish are put in a special fish container to be transported to processing facilities.
10.4	Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product enters the chain of custody.	No	N/A

10.5 Detail description of the flow of certified product within the operation and the associated traceability system which allows product to be traced from final sale back to the unit of certification

In accordance with the stage of growth, transfer from the cage of young fish to the cage of adult fish is conducted. In that case, they move the cages side by side, and fish is moved directly from one cage to another, so there is no possibility that other fish will be mixed. Also, all records of the cages are recorded and clear.

Harvesting is conducted by cage and harvesting of different cages will not be conducted at the same time. Harvesting is done by workers of Amami Yogyo. Sometimes, sorting of harvested fish is conducted about a week before harvesting. In that case, the number of fish is counted. When sorting is not conducted, fish will be shipped with the number on the book, and the number counted by the seller will become the finalized number. Weight is calculated either by an average weight taken by landing net, or measuring the wieight with a constant number such as 50 tails.

Amami Yogyo has processing facilities far from the farms. Therefore harvesting is done by logistic ships. After harvesting, harvested certified fish are put in a special fish container to be transported to processing facilities. This way, a clear traceability is ensured to trace back from the special containers to cages.

The scope of this certification is until the point where the ship arrives at the processing facilities and the fish containers are received by the processing facilities., A separate chain of custody starts from this point.

10.6 Traceability Determination:

10.6.1 The traceability and segregation systems in the operation are sufficient to ensure all products identified and sold as certified by the operation originate from the unit of certification, or

Yes	
-----	--

10.6.2 The traceability and segregation systems are not sufficient and a separate chain of custody certification is required for the operation before products can be sold as ASC-certified or can be eligible to carry the ASC logo.

A separate chain of custody is not required for farm operations.	
--	--

10.6.3 The point from which chain of custody is required to begin.

At the point where the ship containing farmed fishes arrives at the processing facilities.	
--	--

10.6.4 Is a sepearate chain of custody certificate required for the producer?

No	
----	--

ASC Audit Report – Closing

12 Evaluation Results

12.1 A report of the results of the audit of the operation against the specific elements in the standard and guidance documents.	Generally the operation of the Seriola farm meets the requirements of the ASC Seriola and Cobia Standard Version 1.1 March 2019.
12.2 A clear statement on whether or not the audited unit of certification has the capability to consistently meet the objectives of the relevant standard(s).	The audited unit of certification has the capability to consistently meet the objectives of the relevant standard.
12.3 In cases where Biodiversity Environmental Impact Assessment (BEIA) or Participatory Social Impact Assessment (PSIA) is available, it shall be added in full to the audit report. IF these documents are not in English, then a synopsis in English shall be added to the report as well.	BEIA or PSIA is not available.

13 Decision

13.1 Has a certificate been issued? (yes/no)	Yes
13.2 The Eligibility Date (if applicable)	–
13.3 Is a separate coc certificate required for the producer? (yes/no)	No

13.4 If a certificate has been issued this section shall include:

13.4.1 The date of issue and date of expiry of the certificate.	The date of issue: 25 July 2019 The date of expiry of the certificate: 24 July 2022
13.4.2 The scope of the certificate	Seriola farm operated by Amamiyogyo Co., Ltd., a subsidiary of Maruha Nichiro Corporation. Type of products: Seriola (Seriola dumerili) Activities: Grow-out, harvesting and transportation Standard: ASC Seriola and Cobia Standard Version 1.1 March 2019
13.4.3 Instructions to stakeholders that any complaints or objections to the CAB decision are to be subject to the CAB's complaints procedure. This section shall include information on where to review the procedure and where further information on complaints can be found.	Please cotact AMITA Corporation for complaints procedure. Address: 3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan E-mail: ninsho@amita-net.co.jp

14 Surveillance

14.1 Next planned Surveillance	
14.1.1 Planned date	1st April 2020
14.1.2 Planned site	Seriola dumerili Farm of Amami Yogyo Co., Ltd.
14.2 Next audit type	
14.2.1 Surveillance 1	x
14.2.2 Surveillance 2	
14.2.3 certification	
14.2.4 Other (specify type)	